

**2016**

**U.S.C. SECTION 5311  
FORMULA GRANTS FOR RURAL AREAS  
OPERATING & CAPITAL ASSISTANCE APPLICATION  
MANUAL  
20.509**

**FLORIDA DEPARTMENT OF TRANSPORTATION - PUBLIC TRANSIT OFFICE**

# TABLE OF CONTENTS

<b>1. INTRODUCTION .....</b>	<b>1</b>
<b>2. GENERAL PROGRAM INFORMATION / REQUIREMENTS.....</b>	<b>1</b>
2.1. PROGRAM ADMINISTRATION.....	1
2.2. ELIGIBILITY CRITERIA.....	2
2.3. ELIGIBLE RECIPIENTS .....	2
2.4. LEGAL AUTHORITY AND FISCAL & MANAGERIAL CAPABILITY .....	2
2.5. ELIGIBLE EXPENSES FOR SECTION 5311 OPERATING ASSISTANCE .....	3
2.6. ELIGIBLE EXPENSES FOR SECTION 5311 CAPITAL ASSISTANCE .....	3
2.7. INELIGIBLE EXPENSES .....	3
2.8. APPLICATION DEADLINES.....	4
<b>3. SECTION 5311 COMPLIANCE REQUIREMENTS.....</b>	<b>4</b>
3.1. USE OF SECTION 5311 FUNDS/VEHICLES/EQUIPMENT .....	4
3.2. SERVICES ACROSS URBANIZED/RURAL AREA BOUNDARIES .....	4
3.3. PROCUREMENT .....	5
3.4. AMERICANS WITH DISABILITIES ACT (ADA).....	5
3.5. CIVIL RIGHTS SUBMISSIONS .....	5
3.6. ADMINISTRATIVE REQUIREMENTS .....	5
3.7. ADMINISTRATIVE REQUIREMENTS (ONLY IF THE GRANT IS FOR FACILITIES) .....	5
3.8. PLANNING REQUIREMENTS.....	5
3.9. AUDIT REQUIREMENTS FOR SECTION 5311 RECIPIENTS.....	6
3.10. CERTIFICATIONS AND ASSURANCES .....	9
3.11. GRANT APPLICATION EVALUATION CRITERIA .....	9
<b>4. GRANT AWARD PROCESS.....</b>	<b>10</b>
4.1. GRANT AWARD PROCESS FOR SECTION 5311 OPERATING ASSISTANCE ...	10
4.2. GRANT AWARD PROCESS FOR SECTION 5311 CAPITAL ASSISTANCE .....	10
<b>5. GENERAL INSTRUCTIONS ON FORMS, CERTIFICATIONS, AND EXHIBITS..</b>	<b>10</b>
<b>6. CHECKLIST FOR APPLICATION COMPLETENESS .....</b>	<b>12</b>
6.1. APPLIES TO APPLICANTS FOR OPERATING ASSISTANCE .....	12
6.2. APPLIES TO APPLICANTS FOR CAPITAL ASSISTANCE .....	13

<b>7. GRANT APPLICATION INSTRUCTIONS FOR REQUIRED 424 FORM .....</b>	<b>14</b>
7.1. 424 FORM FOR AGENCIES APPLYING ONLY FOR OPERATING ASSISTANCE .....	14
7.2. AGENCIES APPLYING ONLY FOR CAPITAL ASSISTANCE.....	14
7.3. AGENCIES APPLYING FOR BOTH OPERATING AND CAPITAL ASSISTANCE	14
7.4. FORM 424 SAMPLE AND INSTRUCTIONS .....	15
<b>8. APPLIES TO ALL APPLICANTS.....</b>	<b>20</b>
8.1. EXHIBIT A - CURRENT SYSTEM DESCRIPTION.....	20
8.2. EXHIBIT A-1: FACT SHEET .....	21
8.3. EXHIBIT B: PROPOSED PROJECT DESCRIPTION .....	22
8.3.1. QUESTIONS RELATED TO ALL AGENCIES REQUESTING CAPITAL FUNDS	22
8.3.2. QUESTIONS RELATED TO ALL AGENCIES NEW AGENCIES	23
8.3.3. QUESTIONS RELATED TO ALL AGENCIES REQUESTING CAPITAL ASSISTANCE FOR BUS RELATED FACILITIES	23
8.3.4. QUESTIONS RELATED TO ALL AGENCIES REQUESTING OPERATING FUNDS	23
8.4. EXHIBIT E: FEDERAL CERTIFICATIONS AND ASSURANCES .....	24
8.5. EXHIBIT J: STANDARD LOBBYING CERTIFICATION FORM.....	25
8.6. EXHIBIT K: FTA SECTION 5333 (B) ASSURANCE.....	26
<b>9. APPLIES TO APPLICANTS FOR OPERATING ASSISTANCE .....</b>	<b>27</b>
9.1. TRANSPORTATION-RELATED OPERATING AND ADMINISTRATIVE EXPENSES & REVENUES; CALCULATION OF GRANT REQUEST.....	27
9.2. INSTRUCTIONS FOR COMPLETING FORM B-1 .....	29
9.3. FORM B-1: TRANSPORTATION RELATED OPERATING AND ADMINISTRATIVE EXPENSES .....	30
9.4. INSTRUCTIONS FOR COMPLETING FORM B-2 .....	31
9.5. FORM B-2: TRANSPORTATION-RELATED OPERATING AND ADMINISTRATIVE REVENUES .....	32
9.6. FORM B-3: LOCAL MATCH FOR THIS APPLICATION .....	33
9.7. FORM B-4: BREAKDOWN OF TRANSPORTATION COSTS .....	34
9.8. FORM B-5: CALCULATING SERVICE AREA PERCENTAGES.....	37
<b>10. APPLIES TO APPLICANTS FOR CAPITAL ASSISTANCE.....</b>	<b>39</b>
10.1. TRANSPORTATION-RELATED OPERATING AND ADMINISTRATIVE EXPENSES & REVENUES.....	39

10.2.	FORM C-1: TRANSPORTATION RELATED OPERATING AND ADMINISTRATIVE EXPENSES .....	42
10.3.	FORM C-2: TRANSPORTATION- RELATED OPERATING AND ADMINISTRATIVE REVENUES.....	42
10.4.	FORM C-3: LOCAL MATCH FOR THIS APPLICATION .....	43
10.5.	FROM C-4: CURRENT VEHICLE AND TRANSPORTATION EQUIPMENT INVENTORY FORM.....	44
10.6.	FROM C-5: CAPITAL REQUEST.....	46
10.7.	FORM C-6: CAPITAL REQUEST METHODOLOGY FORM .....	48
10.8.	EXHIBIT C: PUBLIC HEARING .....	50
10.9.	EXHIBIT D: LEASING .....	51
10.10.	EXHIBIT F: CERTIFICATION FOR AGENCIES REQUESTING NON-ACCESSIBLE VEHICLES .....	52
10.11.	EXHIBIT G: APPLICANT CERTIFICATION AND ASSURANCES TO FDOT .....	53
10.12.	EXHIBIT H: PROTECTION OF THE ENVIRONMENT (IF GRANT IS FOR FACILITIES) .....	55
<b>11.</b>	<b>APPENDIX.....</b>	<b>56</b>
11.1.	WHAT’S ON THE MARKET.....	56
11.2.	SAMPLE - RESOLUTION FORM.....	58
11.3.	SAMPLE – COVER LETTER.....	59
11.4.	SAMPLE - PUBLIC NOTICE .....	60
11.5.	SAMPLE- NOTICE OF GRANT AWARD .....	61
11.6.	SAMPLE-LISTING OF RECIPIENTS, OTHER ELIGIBLE SURFACE TRANSPORTATION PROVIDERS, AND LABOR ORGANIZATIONS ETC.....	62
11.7.	LOCAL CLEARINGHOUSES / REGIONAL PLANNING COUNCILS (RPC) .....	63
11.8.	FDOT DISTRICT OFFICE CONTACTS.....	65
11.9.	GLOSSARY.....	67

# 1. INTRODUCTION

This manual includes program information, application forms, exhibits, certifications and assurances, and instructions to enable an applicant to apply for Federal operating, capital under 49 U.S.C. 5311 Formula Grants for Rural Areas Program, as administered by the Florida Department of Transportation (FDOT).

The Section 5311 Formula Grants for Rural Areas Program provides Federal operating or capital assistance to eligible recipients (see glossary) who operate/contract public transportation service in rural areas. To be considered rural, an area will have population under 50,000.

Several types of activities are eligible for federal assistance under this program: 1) planning for rural transportation projects; 2) public transportation capital projects; 3) operating costs of equipment and facilities for use in public transportation; 4) mobility management and 5) the cost of service agreements with private providers to provide rural public transportation. Capital equipment purchased must be necessary and reasonable to the provision of public transportation services in rural areas.

The latest Federal Transit Administration Circular on the Section 5311 Program can be downloaded from [http://www.dot.state.fl.us/transit/Pages/FTA\\_Section\\_5311\\_Circular.pdf](http://www.dot.state.fl.us/transit/Pages/FTA_Section_5311_Circular.pdf).

## 2. GENERAL PROGRAM INFORMATION / REQUIREMENTS

### 2.1. PROGRAM ADMINISTRATION

The Federal government allocates funds by formula to the State of Florida each fiscal year for the Section 5311 Program. FDOT has been designated by the Governor of Florida to administer the program. As the program administrator, FDOT is responsible for the following services. At its discretion, FDOT may contract with a service provider to perform these services.

1. announcement of funding availability;
2. selection of projects for funding according to approved selection criteria;
3. development and processing of agreements;
4. oversight of recipient procurement actions;
5. oversight of recipient compliance with state and Federal requirements;
6. processing of recipient invoices for reimbursement, and
7. provision of technical assistance regarding the Section 5311 Program.

Authorizing legislation for the program is shown in the Glossary of this manual under “authorizing Federal and State Legislation.”

The Federal goal of the program is to enhance the access of people in **rural areas** to:

1. health care, shopping, education, employment, public services and recreation;
2. assist in the maintenance, development, improvement and use of public transportation systems in rural areas;
3. encourage and facilitate the most efficient use of all Federal funds used to provide passenger transportation in rural areas through the coordination of programs and services; and,
4. provide for the participation of private transportation providers in rural areas.

In Florida, program funds shall be used to support local transit services that act to maximize the passenger carrying capacity of surface transportation facilities. Services for the transportation disadvantaged should play a significant part under this program. All recipients of funds shall provide their non-prioritization service plan (see definition in Appendix 11.9 Glossary) to the District to ensure access to the general public. Recurring applicants must re-submit their non-prioritization plan only if changes to the plan have been made since previous application cycle.

## **2.2. ELIGIBILITY CRITERIA**

Eligibility criteria are the minimum legal eligibility requirements. Applications must provide information that identifies eligible services, eligible service areas, eligible recipients, eligible expenses, and provide evidence of local matching funds. Applicants must also ensure compliance with a number of other conditions placed on grant recipients including, but not limited to, coordination of transit services, civil rights preservation, compliance with safety and drug free work place regulations, drug and alcohol testing of safety-sensitive employees, competitive procurement of goods and services bought with grant funds, and references to the [Federal Transit Administration's Master Agreement](#).

## **2.3. ELIGIBLE RECIPIENTS**

Eligible recipients of Section 5311 Grants include:

- political subdivisions of the State of Florida and agencies thereof
- Indian Tribes
- private non-profit agencies designated as Community Transportation Coordinators (CTC) in accordance with Chapter 427, Florida Statutes
- Private for-profit agencies may receive funds through contractual arrangements with eligible recipients. The eligible recipient will be responsible for ensuring that the Private for-profit agency meets all federal and state program requirements.

All recipients who are not CTCs must enter into coordination or transportation operator contracts with the appropriate CTC for the purpose of coordinating services. Local governments providing fixed route/fixed schedule service are not required to have an agreement with the CTC.

## **2.4. LEGAL AUTHORITY AND FISCAL & MANAGERIAL CAPABILITY**

Section 5311 applicants must have the legal authority and fiscal/managerial capability to apply for Federal assistance. Applicants are required to have sufficient local funds for match requirements and for preventative maintenance and operation of vehicles/equipment. Grant recipients are required to maintain adequate financial, maintenance, and operating records and be able to comply with FTA reporting requirements in accordance with the Uniform System of Accounts (USOA) and the National Transit Database (NTD) Reporting Manual. (49 USC 5335(a) and F.S. Chapter 341.052). Failure to properly manage, maintain, and operate vehicles/equipment could jeopardize existing and future grants and may result in the removal of vehicles/equipment.

## **2.5. ELIGIBLE EXPENSES FOR SECTION 5311 OPERATING ASSISTANCE**

Operating expenses are those costs directly related to system operations. The Federal share for net eligible operating costs shall not exceed 50%. The other 50% funding share must be from local funding sources, which may include FDOT State funding assistance.

Eligible operating expenses include:

- Administrative, management, and operations costs directly related to public transportation services in rural areas LESS operating revenue. Operating revenue includes fares paid by passengers, whether such fares are paid at the time service is provided or via prepaid arrangements such as passes or tokens.
- The capital costs of providing services are not eligible expenses for Section 5311 Operating Assistance but may be eligible for Section 5311 Capital Assistance or similar Federal Capital Assistance.

## **2.6. ELIGIBLE EXPENSES FOR SECTION 5311 CAPITAL ASSISTANCE**

Section 5311 funds may be used for the capital expense of transit services to the general public in rural areas. The federal share of eligible capital costs shall not exceed 80%.

Eligible expenses are limited to:

- Buses, vans or other paratransit vehicles (including sedans and station wagons). *Agencies requesting sedans and station wagons will need to provide a service justification for those requests.*
- The capital cost of contracting (see glossary in Appendix 11.9 for definition)
- Radios and communications equipment
- Wheelchair lifts and restraints
- Vehicle rehabilitation
- Microcomputer hardware/software and initial installation costs
- Vehicle procurement, inspection and acceptance costs
- The introduction of new technology
- Construction or rehabilitation of transit facilities including design, engineering, and land acquisition
- Other durable goods such as spare components with a unit cost over \$300 and a useful life of more than one (1) year.
- Mobility Management to enhance existing services/routes or to improve a new activity
- Planning activities

## **2.7. INELIGIBLE EXPENSES**

- Expenses for charter service
- Expenses for school bus service
- Expenses for sightseeing bus service

- Service not open to the general public (prioritized transit service)
- Service exclusively within an urbanized area
- Depreciation expenses
- Expenses incurred prior to Federal and State approval of a grant application
- Expenses incurred prior to the execution of a Joint Participation Agreement (JPA)
- Expenses incurred prior to the Department's approval of plans, specifications, and third party contracts

## **2.8. APPLICATION DEADLINES**

Application deadlines vary from district to district but usually fall between December and February each year. When received, FDOT District Offices evaluate applications within their respective districts and, thereafter, submit a Program of Projects (POP) to the FDOT Central Office.

The Central Office compiles POPs from the various districts and submits a statewide grant application for Federal assistance to the Federal Transit Administration (FTA) by April 1 of each year. FDOT anticipates FTA's approval of the statewide grant application (including district POP's) by July 1. The Florida Legislature also approves the general appropriation for the State's current year budget by July 1. Once Federal approval is received and the State budget finalized, District Offices may make grant awards. (See "Grant Award Process" below, Article 4.)

## **3. SECTION 5311 COMPLIANCE REQUIREMENTS**

### **3.1. USE OF SECTION 5311 FUNDS/VEHICLES/EQUIPMENT**

Section 5311 funds/vehicles/equipment may be used for general public transit services provided in rural areas on a regular and continuing basis. They may also be used for service provided to non-sponsored transportation disadvantaged persons and to social service clients in rural areas provided there is no restriction on public use of the service. Service may not be designed exclusively to serve the transportation requirements of social service agencies without regard for the mobility needs of the community as a whole. The need and planned use of the requested vehicles must be detailed in the **Proposed Project Description (Exhibit B)**.

### **3.2. SERVICES ACROSS URBANIZED/RURAL AREA BOUNDARIES**

Applicants providing service across urbanized/rural area boundaries must develop a method of segregating or itemizing the costs of services to demonstrate that Section 5311 funds are used primarily for rural area service. Examples of methods that may be used to allocate costs include:

- where all passenger addresses are known, assume the percentage of those addresses located in rural areas equals the level of service in rural areas;
- segregate urbanized and rural service miles based on route maps, and allocate system-wide costs accordingly; and
- utilize driver logs to segregate service mileage or hours inside and outside the urbanized area, and allocate costs accordingly.



### 3.3. PROCUREMENT

Applicants must have a procurement policy that outlines the procurement process when using federal, state and local funds. The guidebook, [Procurement Guidance for Transit Agencies](#), should be referenced in the procurement policy and utilized when entering into third-party procurements/contracts that utilize federal funds.

### 3.4. AMERICANS WITH DISABILITIES ACT (ADA)

Applicants must comply with the Americans with Disabilities Act, (ADA) of 1990, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; U.S. DOT regulations at 49 CFR Parts 27, 37, 38 and 39; and FTA regulations at 49 CFR Part 609.

### 3.5. CIVIL RIGHTS SUBMISSIONS

Civil rights submissions that are required include, a Title VI Program, Equal Employment Opportunity (EEO) Program, Disadvantaged Business Enterprise (DBE) Program and annual goals, and an ADA transition Plan. **All applicants must submit a copy of their Title VI Program with the grant application.** At the applicant's request, the FDOT District Office will provide technical assistance to the applicant in the development of their Title VI Program.

### 3.6. ADMINISTRATIVE REQUIREMENTS

Section 5311 projects awarded to an agency located in an urbanized area must be included in the metropolitan transportation plan (MTP) prepared and approved by the metropolitan planning organization (MPO), the transportation improvement program (TIP) approved jointly by the MPO and the governor, and the statewide transportation improvement program (STIP) developed by the FDOT and jointly approved by FTA and FHWA. Projects outside UZAs must be included in, or be consistent with the statewide long-range transportation plan, as developed by the state, and must be included in the FDOT STIP.

Although applications for such projects may be accepted by the FDOT District Office prior to their listing in a TIP/STIP, a grant award will not be final for such projects until all administrative requirements are completed, including being listed in the appropriate TIP/STIP.

### 3.7. ADMINISTRATIVE REQUIREMENTS (ONLY IF THE GRANT IS FOR FACILITIES)

Executive Order 12372 requires a review of all Federal grants to ensure compliance with the local and state planning process. Therefore, prior to submission of an application to the FDOT District Office, applicants should send their applications to the **LOCAL** Clearinghouse/Regional Planning Council; **NOT TO THE STATE CLEARINGHOUSE** (see Appendix 11.7). The appropriate clearinghouse agency should be contacted to determine the number of copies required for local review. The date the application was submitted to the local clearinghouse for review must be listed under 19 on the Standard Form 424.

- **Support letters from the local clearinghouse must be submitted to the District Office before a Section 5311 Award can be made.**

### 3.8. PLANNING REQUIREMENTS

To remain eligible for Section 5311 awards, recurring applicants must submit the TDSP or TDP for their service area to FDOT in a timely manner, on the annual update schedule. The entire TDSP or TDP does not

need to be submitted with the application, only date of adoption and page which reference the project numbers are needed.

### **3.9. AUDIT REQUIREMENTS FOR SECTION 5311 RECIPIENTS**

Part I Federally Funded: If the Agency is a state, local government, or non-profit organizations as defined in OMB Circular A-133 and a recipient of federal funds, the following annual audit criteria will apply:

1. In the event that the recipient expends \$750,000 or more in Federal awards in its fiscal year, the recipient must have a single or program-specific audit conducted in accordance with the provisions of OMB Circular A-133, as revised. Exhibit "D" to this agreement indicates Federal resources awarded through the Department by this agreement. In determining the Federal awards expended in its fiscal year, the recipient shall consider all sources of Federal awards, including Federal resources received from the Department. The determination of amounts of Federal awards expended should be in accordance with the guidelines established by OMB Circular A-133, as revised. An audit of the recipient conducted by the Auditor General in accordance with the provisions OMB Circular A-133, as revised, will meet the requirements of this part.
2. In connection with the audit requirements addressed in Part I, Paragraph 1, the recipient shall fulfill the requirements relative to auditee responsibilities as provided in Subpart C of OMB Circular A-133.
3. If the recipient expends less than the amount in Part I, Paragraph 1, an audit conducted in accordance with the provisions of OMB Circular A-133, is not required. If the recipient elects to conduct such an audit, the cost of the audit must be paid from resources obtained from other than Federal entities.
4. Federal awards are to be identified using the Catalog of Federal Domestic Assistance (CFDA) title and number, award number and year, and name of the awarding federal agency.

Part II State Funded: If the Agency is a non-state entity as defined by Section 215.97(2) (m), Florida Statutes, and a recipient of state funds, the following annual audit criteria will apply:

1. In the event that the recipient expends a total amount of state financial assistance equal to or in excess of \$750,000 in any fiscal year, the recipient must have a State single or project-specific audit for such fiscal year in accordance with Section 215.97, Florida Statutes; applicable rules of the Department of Financial Services and the CFO; and Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General. Exhibit "D" to this agreement indicates state financial assistance awarded through the Department by this agreement. In determining the state financial assistance expended in its fiscal year, the recipient shall consider all sources of state financial assistance, including state financial assistance received from the Department, other state agencies, and other non-state entities. State financial assistance does not include Federal direct or pass-through awards and resources received by a non-state entity for Federal program matching requirements.
2. In connection with the audit requirements addressed in Part II, Paragraph 1, the recipient shall ensure that the audit complies with the requirements of Section 215.97(8), Florida

Statutes. This includes submission of a financial reporting package as defined by Section 215.97(2) (e), Florida Statutes, and Chapter 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General.

3. If the recipient expends less than the amount in Part II, Paragraph 1, such audit is not required. If the recipient elects to conduct such an audit, the cost of the audit must be paid from the recipient's resources obtained from non-state entities.

4. State awards are to be identified using the Catalog of State Financial Assistance (CSFA) title and number, award number and year, and name of the state agency awarding it.

### Part III Other Audit Requirements

1. The Agency shall follow-up and take corrective action on audit findings. Preparation of a summary schedule of prior year audit findings, including corrective action and current status of the audit findings is required. Current year audit findings require corrective action and status of findings.

2. Records related to unresolved audit findings, appeals, or litigation shall be retained until the action is completed or the dispute is resolved. Access to project records and audit work papers shall be given to the Department, the Department Comptroller, and the Auditor General. This section does not limit the authority of the Department to conduct or arrange for the conduct of additional audits or evaluations of state financial assistance or limit the authority of any other state official.

### Part IV Report Submission

1. Copies of reporting packages for audits conducted in accordance with OMB Circular A-133 as revised, and required by Section 7.62 Part I of this agreement shall be submitted, when required by Section .320 (d), OMB Circular A-133 as revised, by or on behalf of the recipient directly to each of the following:

- A. The Department at the following address:  
Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405  
Email: [FDOTSingleAudit@dot.state.fl.us](mailto:FDOTSingleAudit@dot.state.fl.us)
- B. The number of copies required by Sections .320 (d)(1) and (2), OMB Circular A-133 as revised, submitted to the following address:  
Federal Audit Clearinghouse  
Bureau of the Census  
1201 East 10th Street  
Jeffersonville, IN 47132
- C. Other Federal agencies and pass-through entities in accordance with Sections .320 (e) and (f), OMB Circular A-133 as revised.

2. In the event that a copy of the reporting package for an audit required by Section 7.62 Part I of this Agreement and conducted in accordance with OMB Circular A-133 as revised is not required to be submitted to the Department for reasons pursuant to section .320 (e)(2), OMB Circular A-133 as revised, the recipient shall submit the required written notification pursuant to Section .320 (e)(2) and a copy of the recipient's audited schedule of expenditures of Federal awards directly to each of the following:

Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405  
Email: [FDOTSingleAudit@dot.state.fl.us](mailto:FDOTSingleAudit@dot.state.fl.us)

In addition, pursuant to Section .320 (f), OMB Circular A-133 as revised, the recipient shall submit a copy of the reporting package described in Section .320 (c), OMB Circular A-133 as revised, and any management letters issued by the auditor, to the Department at the following address:

Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405  
Email: [FDOTSingleAudit@dot.state.fl.us](mailto:FDOTSingleAudit@dot.state.fl.us)

3. Copies of financial reporting packages required by Section 7.62 Part II of this Agreement shall be submitted by or on behalf of the recipient directly to each of the following:

- A. The Department at the following address:  
Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405  
Email: [FDOTSingleAudit@dot.state.fl.us](mailto:FDOTSingleAudit@dot.state.fl.us)
- B. The Auditor General's Office at the following address:  
Auditor General's Office  
Room 401, Pepper Building  
111 West Madison Street  
Tallahassee, Florida 32399-1450

4. Copies of reports or the management letter required by Section 7.62 Part III of this Agreement shall be submitted by or on behalf of the recipient directly to:

- A. The Department at the following address:

Florida Department of Transportation  
Office of Comptroller, MS 24  
605 Suwannee Street  
Tallahassee, Florida 32399-0405  
Email: FDOTSingleAudit@dot.state.fl.us

5. Any reports, management letter, or other information required to be submitted to the Department pursuant to this Agreement shall be submitted timely in accordance with OMB Circular A-133 as revised, Section 215.97, Florida Statutes, and Chapter 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, as applicable.

6. Recipients, when submitting financial reporting packages to the Department for audits done in accordance with OMB Circular A-133 as revised or Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, should indicate the date that the reporting package was delivered to the Agency in correspondence accompanying the reporting package.

### **3.10. CERTIFICATIONS AND ASSURANCES**

Applicants must agree to comply with certain Federal requirements by signing the certification and assurances form covered by **Exhibits E, F, K and H** of this manual, as appropriate. Compliance items in **Exhibit E** include (but are not limited to) regulations pertaining to charter service and school bus service when using FTA-funded vehicles, equipment, and facilities; and FTA drug and alcohol testing regulations. **Exhibit F** applies to applicants for capital assistance to purchase non-accessible vehicles. **Exhibit H** pertains to Protection of the Environment and applies to applicants seeking grants for facilities. **Exhibit K** assures compliance with Section 5333(b) of the Federal Transit Act regarding compliance with labor protection provisions, and applies to all applicants. Applicants for the Section 5311 Capital Assistance must also sign a certification and assurance to FDOT, as provided in **Exhibit G** of this manual.

### **3.11. GRANT APPLICATION EVALUATION CRITERIA**

Section 5311 funds shall be awarded to eligible recipients on the basis of merit and need in accordance with the below evaluation criteria:

**1) Service Efficiency and Effectiveness**

Examine the data submitted in the application under system description. Compare hours and days of service provided. Rank applicants providing more service, per week, higher than others. Rank applicants providing more rides per seat higher than others.

**2) Extent to Which the Community at Large Is Served**

Examine the project description, system description and coordination efforts. Rank applicants providing the broadest scope of services and the most service to non-sponsored riders and the general public higher than others.

**3) Need**

Evaluate the project description and budget. For example, are funds requested for items essential to passenger service, have vehicles being replaced reached the end of their useful

life (in accordance with FDOT *Transit Vehicle Inventory Management, Procedure No. 725-030-025*), is there a large unserved population to which service is being expanded, is there a large number of people dependent on existing service? Rank those demonstrating greater need higher than others.

**4) Fiscal and Managerial Capability**

Consider the overall quality of the proposal as prepared, previous record of timely and accurate reports, prior audit records (if applicable; new applicants should not be penalized by lack of history), maintenance capability (as evidenced by age and mileage of vehicles being replaced), and rank overall capabilities accordingly.

## **4. GRANT AWARD PROCESS**

Awards will be made by the respective FDOT District Office to agencies submitting applications approved by FDOT for an award, either by 1) issuing a Joint Participation Agreement (JPA) to the recipient; or 2) issuing a Notice of Grant Award, with a Joint Participation Agreement (JPA) to follow.

### **4.1. GRANT AWARD PROCESS FOR SECTION 5311 OPERATING ASSISTANCE**

The District Office may enter into a multi-year JPA to commit funds for up to five (5) years in one JPA. However, the grant recipient must qualify each year by submitting an annual application for Section 5311 funds.

In the case of a multi-year JPA, the JPA does not identify the maximum amount of funding available annually for up to five years to the recipient. Each year of the period, FDOT will encumber available funding, based on the formula allocation to recipients in each FDOT District, and provide written confirmation to the recipient of any adjustment to the original estimated funding level as a result of changes in Federal appropriations and/or formula allocations.

### **4.2. GRANT AWARD PROCESS FOR SECTION 5311 CAPITAL ASSISTANCE**

Capital Assistance awards will be made by the respective FDOT District Office to agencies submitting applications approved by FDOT for an award by issuing a Joint Participation Agreement (JPA) to the recipient.

To notify an applicant (subrecipient) approved for an award by FDOT, the FDOT District Office will send a “Notice of Grant Award” to the applicant/recipient with instructions to sign and return it to the District Office (see sample notice in the Appendix.) Thereafter, a JPA will be issued by the District Office to the recipient.

## **5. GENERAL INSTRUCTIONS ON FORMS, CERTIFICATIONS, AND EXHIBITS**

Each form, exhibit, and certification provides FDOT with information it must have to make required assurances to the Federal government and to make project selections. It is important that each required form, exhibit, and certification be complete and correct. Applicants should be aware that there are criminal sanctions for furnishing false information in order to obtain federal grants (18 U.S.C. 1001).

The **original** application for Operating Assistance, Capital Assistance, or both, should be prepared on white, 8.5 X 11” paper, one-sided and securely clipped (no binders or dividers, please) and submitted to the appropriate FDOT District Office. Each District Office requires at a minimum one (1) original and additional copies, as specified by the District. Copies should be black and white, not color. **Application forms, exhibits, and certifications should be arranged in the order listed in the “Checklist(s) for Application Completeness”.** Two separate checklists are provided in this manual: one for Operating Assistance and one for Capital Assistance. The appropriate checklist should be used to assure the application is complete. Applications that are incomplete, illegible, or unsigned may be rejected in writing (i.e., email or letter) from the District.

The **original** application must be accompanied by the **required cover letter** and **two (2) fully-executed Resolutions** from the applicant’s governing board (see Appendix 11.2). The Resolution should authorize 1) submission of the application; 2) signing of the application and certifications/assurances by a designated individual; 3) acceptance of the grant award by the designated individual; 4) be printed on company letterhead (cover letter).

**All signatures should be in blue ink by the individual designated by the governing board of the applicant agency. Blue ink distinguishes an original signature from a photocopy. Only original signature resolutions, applications, and acceptance of grant awards are acceptable. The additional copies of the original application may be photocopies. Agencies submitting an application via TransCIP should print and sign the documents and upload a scanned color copy into TransCIP.**

Questions regarding the Section 5311 application process should be directed to the FDOT District Office in the applicant’s service area, as shown in Appendix 11.8 of this manual.



## 6. CHECKLIST FOR APPLICATION COMPLETENESS

### 6.1. APPLIES TO APPLICANTS FOR OPERATING ASSISTANCE

Name of Applicant: \_\_\_\_\_

Check One: New Applicant \_\_\_\_\_ Recurring Applicant \_\_\_\_\_

The following documents must be included in section 5311 Operating Assistance Applications in the order listed:

- \_\_\_\_ Checklist for Application Completeness (this form)
- \_\_\_\_ Applicant's cover letter (see Appendix 11.3 for Sample)
- \_\_\_\_ Two (2) copies of the governing board's Resolution (see Appendix 11.2 for Sample)
- \_\_\_\_ Application for Federal Assistance (**Form 424**, Code 20.509)
- \_\_\_\_ Exhibit A: Current System Description
- \_\_\_\_ Exhibit A-1: Fact Sheet
- \_\_\_\_ Exhibit B – Proposed Project Description
- \_\_\_\_ Forms B-1 and B-2 (Operating and Administrative Expense & Revenues; Grant Request)
- \_\_\_\_ Form B-3 and proof of local match
- \_\_\_\_ Form B-4: Breakdown of Transportation Costs
- \_\_\_\_ Form B-5: Calculating Service Area Percentages
- \_\_\_\_ Exhibit E: Federal Certifications and Assurances
- \_\_\_\_ Exhibit J: Standard Lobbying Certification Form
- \_\_\_\_ Exhibit K: FTA Section 5333(b) Assurance.
- \_\_\_\_ Copy of the Title VI Plan

#### FOR DEPARTMENT USE ONLY

Date: \_\_\_\_\_ Letter received from the Local RPC/Clearinghouse



## 6.2. APPLIES TO APPLICANTS FOR CAPITAL ASSISTANCE

Name of Applicant: \_\_\_\_\_

Check one: New Applicant \_\_\_\_\_ Recurring Applicant \_\_\_\_\_

The following must be included in the Application for Section 5311 Capital Assistance in the order listed.

- \_\_\_\_ Checklist for Application Completeness (this form)
- \_\_\_\_ Applicant's cover letter (see appendix 11.3 for Sample)
- \_\_\_\_ Two (2) copies of the governing board's Resolution (see appendix 11.2 for Sample)
- \_\_\_\_ Application for Federal Assistance (**Form 424**, Code 20.509)
- \_\_\_\_ Exhibit A: Current System Description
- \_\_\_\_ Exhibit A-1: Fact Sheet
- \_\_\_\_ Exhibit B: Proposed Project Description
- \_\_\_\_ Exhibit C: Public Hearing and Publisher's Affidavit (public agencies only)
- \_\_\_\_ Forms C-1 and C-2 (Operating and Administrative Expenses & Revenues)
- \_\_\_\_ Form C3 and proof of local match
- \_\_\_\_ Form C-4: Current Vehicle and Transportation Equipment Inventory Form
- \_\_\_\_ Form C-5: Capital Request Form
- \_\_\_\_ Form C-6: Capital Request Methodology Form
- \_\_\_\_ Exhibit D –Leasing
- \_\_\_\_ Exhibit E: Federal Certifications and Assurances
- \_\_\_\_ Exhibit F: Certification of Equivalent Service (if grant is for non-accessible vehicles)
- \_\_\_\_ Exhibit G: Applicant Certification and Assurance to FDOT
- \_\_\_\_ Exhibit J: Standard Lobbying Certification Form
- \_\_\_\_ Exhibit K: FTA Section 5333(b) Assurance
- \_\_\_\_ Copy of the Title VI Plan

### If grant is for facilities:

\_\_\_\_ Copy of cover letter sent with application submitted to Local Clearinghouse Agency/RPC Date: \_\_\_\_\_

\_\_\_\_ Exhibit H: Protection of the Environment

### FOR DEPARTMENT USE ONLY

Date: \_\_\_\_\_ Letter received from the Local RPC/Clearinghouse

## **7. GRANT APPLICATION INSTRUCTIONS FOR REQUIRED 424 FORM**

The standard Application for Federal Assistance (Form 424) must be filled out in its entirety for Section 5311 applications, and for the local clearinghouse submission (if grant is for facilities). A sample of the standard form is located on the next page of this manual. Applicants that are not using TransCIP to submit their applications should print a copy of the completed [424 form](#) and include it with this application. This form must be used for **ALL** applications.

No pre-application process is used in this program; therefore, all submissions are applications.

**The code assigned to the Section 5311 Program in the Catalog of Federal Domestic Assistance is 20.509. This code should be shown in Section 10 of the form followed by the title: “Formula Grants for Rural Areas Program.”**

### **7.1. 424 FORM FOR AGENCIES APPLYING ONLY FOR OPERATING ASSISTANCE**

Standard Form 424 should cover only the Operating Assistance being applied for by the applicant.

### **7.2. AGENCIES APPLYING ONLY FOR CAPITAL ASSISTANCE**

Standard Form 424 should cover only the Capital Assistance being applied for by the applicant.

### **7.3. AGENCIES APPLYING FOR BOTH OPERATING AND CAPITAL ASSISTANCE**

Submit separate Standard Form 424 for Operating and Capital. Each 424 form must stand alone for the type of request as the categories are different and so are the match requirements: i.e. one form should cover Operating Assistance and a separate form should cover Capital Assistance being applied for by the applicant.

## 7.4. FORM 424 SAMPLE AND INSTRUCTIONS

Item:	Entry:
1.	Type of Submission should be “Application”
2.	Type of Application should be “New”
3.	“Not Applicable”
4.	“Not Applicable”
5. a	“Not Applicable”
5 B	Federal Award Identifier (FTA Grant Number) is not needed at this time.
6.	State use only (if applicable)
7.	State Application Identifier is “1001”
8.a, b, c, d e, f	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter employer/taxpayer identification number (EIN/TIN) as assigned by Internal Revenue Service, enter the organization’s DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.
9.	Type of Applicant 1: Select Applicant Type
10	Name of Federal Agency should be “ Federal Transit Administration”
11.	Catalog of Federal Domestic Assistance Number is: 20.509 CFDA Title should be: Formula Grants for Rural Areas
12.	“Not Applicable”
13.	“Not Applicable”
14	List the areas affected by project (cities, counties, States etc.). Can be submitted on a separate piece of paper.
15.	Enter a brief descriptive title of the project. If appropriate (e.g., construction or real property projects), attach a map showing project location. For pre-applications, use a separate sheet to provide a summary description of this project.
16.	List the applicant’s Congressional District and any District(s) affected by the program or project
17	Enter the proposed start date and end date of the project.
18.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item
19.	Check the applicable box

20.	Check the applicable box (If “yes”, provide explanation in attachment)
21.	Must be signed by a governing board representative that was authorized to sign this particular application

Application for Federal Assistance SF-424		
<b>* 1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		<b>* 2. Type of Application:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision
		* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
<b>* 3. Date Received:</b> <input type="text"/>		<b>4. Applicant Identifier:</b> <input type="text"/>
<b>5a. Federal Entity Identifier:</b> <input type="text"/>		<b>5b. Federal Award Identifier:</b> <input type="text"/>
<b>State Use Only:</b>		
<b>6. Date Received by State:</b> <input type="text"/>		<b>7. State Application Identifier:</b> <input type="text"/>
<b>8. APPLICANT INFORMATION:</b>		
<b>* a. Legal Name:</b> <input type="text"/>		
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> <input type="text"/>		<b>* c. Organizational DUNS:</b> <input type="text"/>
<b>d. Address:</b>		
<b>* Street1:</b> <input type="text"/> <b>Street2:</b> <input type="text"/> <b>* City:</b> <input type="text"/> <b>County/Parish:</b> <input type="text"/> <b>* State:</b> <input type="text"/> <b>Province:</b> <input type="text"/> <b>* Country:</b> <input type="text"/> USA: UNITED STATES <b>* Zip / Postal Code:</b> <input type="text"/>		
<b>e. Organizational Unit:</b>		
<b>Department Name:</b> <input type="text"/>		<b>Division Name:</b> <input type="text"/>
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
<b>Prefix:</b> <input type="text"/> <b>* First Name:</b> <input type="text"/> <b>Middle Name:</b> <input type="text"/> <b>* Last Name:</b> <input type="text"/> <b>Suffix:</b> <input type="text"/> <b>Title:</b> <input type="text"/> <b>Organizational Affiliation:</b> <input type="text"/> <b>* Telephone Number:</b> <input type="text"/> <b>Fax Number:</b> <input type="text"/> <b>* Email:</b> <input type="text"/>		

Application for Federal Assistance SF-424	
<p><b>* 9. Type of Applicant 1: Select Applicant Type:</b></p> <div style="border: 1px solid black; height: 20px; background-color: #d9e1f2;"></div> <p>Type of Applicant 2: Select Applicant Type:</p> <div style="border: 1px solid black; height: 20px; background-color: #d9e1f2;"></div> <p>Type of Applicant 3: Select Applicant Type:</p> <div style="border: 1px solid black; height: 20px; background-color: #d9e1f2;"></div> <p>* Other (specify):</p> <div style="border: 1px solid black; height: 20px;"></div>	
<p><b>* 10. Name of Federal Agency:</b></p> <div style="border: 1px solid black; height: 20px; background-color: #d9e1f2;"></div>	
<p><b>11. Catalog of Federal Domestic Assistance Number:</b></p> <div style="border: 1px solid black; height: 20px; background-color: #d9e1f2;"></div> <p>CFDA Title:</p> <div style="border: 1px solid black; height: 20px; background-color: #d9e1f2;"></div>	
<p><b>* 12. Funding Opportunity Number:</b></p> <div style="border: 1px solid black; height: 20px; background-color: #d9e1f2;"></div> <p>* Title:</p> <div style="border: 1px solid black; height: 40px; background-color: #d9e1f2;"></div>	
<p><b>13. Competition Identification Number:</b></p> <div style="border: 1px solid black; height: 20px; background-color: #d9e1f2;"></div> <p>Title:</p> <div style="border: 1px solid black; height: 40px; background-color: #d9e1f2;"></div>	
<p><b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b></p> <div style="border: 1px solid black; height: 20px;"></div> <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; padding: 2px 5px;">Add Attachment</div> <div style="border: 1px solid black; padding: 2px 5px;">Delete Attachment</div> <div style="border: 1px solid black; padding: 2px 5px;">View Attachment</div> </div>	
<p><b>* 15. Descriptive Title of Applicant's Project:</b></p> <div style="border: 1px solid black; height: 40px; background-color: #d9e1f2;"></div>	
<p>Attach supporting documents as specified in agency instructions.</p> <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; padding: 2px 5px;">Add Attachments</div> <div style="border: 1px solid black; padding: 2px 5px;">Delete Attachments</div> <div style="border: 1px solid black; padding: 2px 5px;">View Attachments</div> </div>	

**Application for Federal Assistance SF-424****16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

\* a. Federal

\* b. Applicant

\* c. State

\* d. Local

\* e. Other

\* f. Program Income

\* g. TOTAL

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☐ a. This application was made available to the State under the Executive Order 12372 Process for review on☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.☐ c. Program is not covered by E.O. 12372.**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes☐ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

**\*\* I AGREE**

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:

\* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:

Fax Number:

\* Email:

\* Signature of Authorized Representative:

\* Date Signed:

## 8. APPLIES TO ALL APPLICANTS

### 8.1. EXHIBIT A - CURRENT SYSTEM DESCRIPTION

Applicants must submit Exhibit A as part of their application. Exhibit A should provide a short description of who the applicant is and what services they provide (**not to exceed two pages**). It is required that all applicants provide the Current System Description in a **question/answer format**. The following information shall be included in the narrative in a detailed manner:

- What is a general overview of the organization including its mission, program goals and objectives?
- What is the organizational structure, type of operation, number of employees, and other pertinent organizational information? Include an organizational chart that shows the positions that are involved in the transit department i.e. fleet manager, vehicle maintenance. The organizational chart may be placed after this exhibit.
- Who is responsible for insurance, training, management, and administration of the agency's transportation program?
- Who provides maintenance for the vehicles? Is it outsourced? What type of Preventative Maintenance work does the agency do on-site?
- What is the agency's current number of transportation related employees?
- Who will drive the vehicle, number of drivers, CDL certifications? (if capital assistance is requested).
- What is a detailed description of service routes and ridership numbers?

If the applicant is a Community Transportation Coordinator (CTC), **relevant** pages of a Transportation Disadvantaged Service Plan (TDSP) and Annual Operating Report (AOR) containing the above information may be provided.

***GRANT WRITING TIP: Refer to the Evaluation Criteria in the General Program Information Section of this manual, Section/Article 2.8. An applicant's narrative should cover the points that will be evaluated.***



## 8.2. EXHIBIT A-1: FACT SHEET

Name of Applicant: \_\_\_\_\_

	CURRENTLY	IF GRANT IS AWARDED
1. Number of one-way passenger trips.* <b>PER YEAR</b>		
2. Number of individuals served unduplicated (first ride per rider per fiscal year). <b>PER YEAR**</b>		
3. Number of vehicles used for this service. <b>ACTUAL</b>		
4. Number of ambulatory seats. <b>AVERAGE PER VEHICLE</b> (Total ambulatory seats divided by total number of fleet vehicles)		
5. Number of wheelchair positions. <b>AVERAGE PER VEHICLE</b> (Total wheelchair positions divided by total number of fleet vehicles)		
6. Vehicle miles traveled. <b>PER YEAR</b>		
7. Average vehicle miles <b>PER DAY</b>		
8. Normal vehicle hours in operation. <b>PER DAY</b>		
9. Normal number of days in operation. <b>PER WEEK</b>		
10. Trip length (roundtrip). <b>AVERAGE</b>		

Estimates are acceptable. The information listed should be specific to the Section 5311 funds and not agency wide.

\* One way passenger trip is the unit of service provided each time a passenger enters the vehicle, is transported, then exits the vehicle. Each different destination would constitute a passenger trip

\*\* The unduplicated riders are for current year and the subsequent year once the grant is awarded

### 8.3. EXHIBIT B: PROPOSED PROJECT DESCRIPTION

Applicants must submit **Exhibit B** as part of their application (not to exceed three (3) pages). The proposed project description should be thorough as evaluators will rely heavily on the narrative in reviewing and ranking an application. It is required that you submit the Project Description in a question/answer format. The project description should not repeat the current system description shown in Exhibit A. Exhibit B must include, but not be limited to:

#### 8.3.1. QUESTIONS RELATED TO ALL AGENCIES REQUESTING CAPITAL FUNDS

Please answer all questions in a full detailed manner:

1. Is the project to continue the existing level of services, to expand present service, or to provide new service? How will a grant award be used? If the grant is awarded, will the agency provide more hours? If the grant is awarded, will the agency provide service to a larger geographic area? If the grant is awarded, will the agency provide shorter headways? If the grant is awarded, will the agency provide more trips?
2. If a grant award will be used to maintain services as described in Exhibit A, specifically explain how it will be used in the context of total service. Make sure to include information on how the agency will maintain adequate financial, maintenance, and operating records and comply with FTA reporting requirements including information for the Annual Program of Projects Status Reports, Milestone Activity Reports, NTD reporting, DBE reports etc.)
3. Give a detailed explanation of the need for the vehicle and provide evidence of the need.
4. Will a grant award be used to replace existing equipment or purchase additional vehicles/equipment? Provide details.
5. Identify vehicles/equipment being replaced and list them on the “**Current Vehicle and Transportation Equipment Inventory**” form (see page 44).
6. Describe the agency’s maintenance program and include a section describing how vehicles will be maintained without interruptions in service (who, what, where, and when).
7. If vehicles and/or equipment are proposed to be used by a lessee or private operator under contract to the applicant, identify the proposed lessee/operator.
  - a. Include an equitable plan for distribution of vehicles/equipment to lessees/operator.
8. Each applicant shall indicate whether they are a government authority or a private non-profit agency, provide a brief description of the project which includes the counties served, whether the applicant employees are represented by a union and if so represented the name and local number of the union.
9. Fully explain your transportation program
  - a. Service hours, planned service, routes and trip types
  - b. Staffing – include plan for training on vehicle equipment such as wheelchair lifts, etc.
  - c. Records maintenance
  - d. Vehicle maintenance – who, what, when and where
  - e. CDL requirements
  - f. System Safety Program Plan (SSPP)

- g. Drug free work place

### **8.3.2. QUESTIONS RELATED TO ALL AGENCIES NEW AGENCIES**

1. Have you met with the CTC and, if so, how are you providing a service that they cannot?  
Provide detailed information supporting this requirement.

***Applications submitted without the appropriate coordination agreement may be rejected by FDOT. Grant awards will not be made without an appropriate coordination agreement.***

### **8.3.3. QUESTIONS RELATED TO ALL AGENCIES REQUESTING CAPITAL ASSISTANCE FOR BUS RELATED FACILITIES**

1. Please provide any pertinent documents that may be on record, to make a determination on such things as reasonableness of cost, sufficiency of preliminary engineering and design work completed.
2. Please provide a full, detailed scope of the project, including but not limited to a project schedule, construction days, method of procurement, etc.
3. Please provide a detailed description of all project activities included in the construction of the facility.

***NOTE: If awarded, the agency must prepare a draft/proposed facilities/building maintenance plan that will need to be adopted after construction of facilities.***

### **8.3.4. QUESTIONS RELATED TO ALL AGENCIES REQUESTING OPERATING FUNDS**

1. How do you currently fund the operations of your transit program?
2. If this grant is not fully funded, can you still proceed with this program?

**GRANT WRITING TIP: Refer to the Evaluation Criteria (see page 9 ) and be sure Exhibit B covers the points that will be evaluated.**

## 8.4. EXHIBIT E: FEDERAL CERTIFICATIONS AND ASSURANCES

The **last** page (Appendix A) of the annual Federal Register Notice that applies to Federal Certifications and Assurances provides applicants with a single signature page on which an applicant and its attorney must certify compliance with the requirements of the various Federal Transit Administration grants or cooperative agreements. The Federal Register Notice is revised annually and is usually available around January 1 of each year. Applicants may obtain a copy of the current year document through the internet at <http://www.fta.dot.gov/grants/13071.html>. If unable to access the form, applicants may contact their FDOT District Office for assistance. The appropriate signed Federal certification/assurance form must be included in the application when it is submitted to the FDOT District Office.

Submissions in TEAM: An applicant submitting certifications and assurances for their agency in TEAM can attach a screenshot of their PIN as replacement of the signature page.

GRANT WRITING TIP: All applicants must use the current year form and it must be the actual form from the Federal Transit Administration (FTA). This form cannot be an edited version of a prior year's forms or a recreation of the form. **DO NOT copy this form onto agency letterhead for signature, it will be returned to you and delay processing your grant request.**

**The signature page for Federal Certifications and Assurances should be signed by an individual authorized by the applicant's governing board to sign and submit applications, and its attorney. Blue ink is required as it distinguishes an original signature from a photocopied signature.**

### **Federal Certifications and Assurances Required of Each Applicant:**

- Authority of applicant and its representative
- Standard Assurances
- [Debarment and Suspension, and other Responsibility Matters](#)
- [Drug Free Workplace Certification](#)
- Intergovernmental Review Assurance
- [Federal Transit Administration Master Agreement](#)
- Nondiscrimination Assurance
- Assurance of Nondiscrimination on the Basis of Disability Procurement Compliance.

A. Applicants for Federal Assistance may signify compliance with the above certifications and assurances by placing an "X" at the top of Appendix A next to the statement that reads: "The Applicant agrees to comply with applicable requirements of Categories 01-24". If an applicant chooses to do this, no additional notation is necessary, except for the signature on the reverse.

A description of the certifications required for the Section 5311 Formula Grants for Rural Areas Program is provided in the annual Federal Register Notice.

## 8.5. EXHIBIT J: STANDARD LOBBYING CERTIFICATION FORM

### FEDERAL FISCAL YEAR 2016

**NOTE: All grant awards issued to a recipient in the amount of \$100,000 or more must include a signed standard lobbying form.**

The undersigned [Contractor] certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," (a copy the form can be obtained from <http://www.dot.state.fl.us/transit/Pages/grantsadministration.shtm>) in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, *et seq.*)]

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Contractor, \_\_\_\_\_, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, *et seq.*, apply to this certification and disclosure, if any.

\_\_\_\_\_ Signature of Contractor's Authorized Official

\_\_\_\_\_ Name and Title of Contractor's Authorized Official

\_\_\_\_\_ Date

## 8.6. EXHIBIT K: FTA SECTION 5333 (B) ASSURANCE

(Note: By signing the following assurance, the recipient of Section 5311 and/or 5311(f) assistance assures it will comply with the labor protection provisions of 49 U.S.C. 5333(b) by one of the following actions: (1) signing the Special Warranty for the Rural Area Program ([see FTA Circular C 9040.1E, Chapter X](#)); (2) agreeing to alternative comparable arrangements approved by the [Department of Labor \(DOL\)](#); or (3) obtaining a waiver from the DOL.)

The \_\_\_\_\_ (hereinafter referred to as the “Recipient”) HEREBY ASSURES that the “Special Section 5333 (b) Warranty for Application to the Small Urban and Rural Program” has been reviewed and certifies to the Florida Department of Transportation that it will comply with its provisions and all its provisions will be incorporated into any contract between the recipient and any sub-recipient which will expend funds received as a result of an application to the Florida Department of Transportation under the FTA Section 5311 Program.

Dated \_\_\_\_\_

\_\_\_\_\_  
(Name and Title of Authorized Representative)

\_\_\_\_\_  
(Signature of Authorized Representative)

**Note: All applicants must complete the following form and submit it with the above Assurance.**

**LISTING OF RECIPIENTS, OTHER ELIGIBLE SURFACE TRANSPORTATION PROVIDERS, UNIONS OF SUB-RECIPIENTS, AND LABOR ORGANIZATIONS REPRESENTING EMPLOYEES OF SUCH PROVIDERS, IF ANY**  
(See Appendix for Example)

<b>1</b> Identify Recipients of Transportation Assistance Under this Grant.	<b>2</b> Site Project by Name, Description, and Provider (e.g. Recipient, other Agency, or Contractor)	<b>3</b> Identify Other Eligible Surface Transportation Providers (Type of Service)	<b>4</b> Identify Unions (and Providers) Representing Employees of Providers in Columns 1, 2, and 3

## 9. APPLIES TO APPLICANTS FOR OPERATING ASSISTANCE

### 9.1. TRANSPORTATION-RELATED OPERATING AND ADMINISTRATIVE EXPENSES & REVENUES; CALCULATION OF GRANT REQUEST

Information regarding the applicant's transit-related operating and administrative expenses and revenues specific to 5311 funds must be provided with the application for Operating Assistance. **Forms B-1 and B-2**, as provided in this manual, should be used for this purpose. **Form B-1** provides space for the applicant to show operating and administrative expenses of the service operated/contracted by the applicant. **Form B-1** also provides space to calculate a grant request. However, the grant request cannot be completed until **Form B-2** is completed. **Form B-2** provides space for the applicant to show the sources of revenue proposed to pay for the expenses shown in **Form B-1**.

The budget line items shown on the forms were originally defined in the Transportation Accounting Consortium's Model Uniform Accounting System for Rural and Specialized Transportation Providers (TAC Manual). The account numbers in parentheses are the object code numbers for these line items in the TAC manual and in FTA National Transit Data Reports (NTD). Definitions for expense and revenue line items are included below.

Applicants should show the transit related operating and administrative expenses and revenues of their agency for the proposed project as projected for the year the Section 5311 Grant Award is to be used. For example, the projected expense and revenue budgets for fiscal year 2016/2017 should be used if Section 5311 Assistance is requested by the applicant for use in fiscal year 2016/2017.

#### **DEFINITIONS:**

*Source: ([National Transit Data Report - NTD](#))*

#### **Operating and Administrative Expenses:**

- **(501) labor** - The pay and allowances due employees in exchange for the labor services they render in behalf of the transit system.
- **(502) fringe and benefits** - Payments or accruals to others (insurance companies, governments, etc.) on behalf of an employee and payments or accruals direct to an employee arising from something other than his performance of a piece of work.
- **(503) services** - Labor and other work provided by outside organizations for fees and related expenses.
- **(504) materials and supplies** - Tangible products obtained from outside suppliers or manufactured internally.
- **(504.01) vehicle maintenance** - Cost of fuel and lubricants, tires and tubes, vehicle maintenance parts.
- **(505) utilities** - Payments made to various utilities for utilization of their resources (e.g., electric, gas, water, telephone, etc.)
- **(506) insurance** - Cost elements covering protection of the transit system from loss through insurance programs; compensation of others for their losses due to acts for which the transit system is liable; and recognition of the cost of a miscellaneous category of corporate losses.
- **(507) license and taxes** - Taxes and fees levied against the transit system by Federal, state, and local governments.
- **(508) purchased transit service** - The payment or accrual to other transit systems for providing transportation service.
- **(509) miscellaneous** - Those expenses which cannot be attributed to any of the other major



expense categories.

- **(512) leases and rentals** - Payments for the use of capital assets not owned by the transit system.
- **(513) depreciation** - Charges that reflect the loss in service value of the transit system's assets.

### **Operating and Administrative Revenues:**

- **(401) passenger fares for transit services** - Revenue earned from carrying passengers along regularly scheduled routes.
- **(402) special transit fares** - Revenues earned for rides given in regular transit service, but paid for by some organization rather than by the rider, and for rides given along special routes for which revenue may be guaranteed by a beneficiary of the service.
- **(403) school bus service revenues** - Revenues earned from operating vehicles under school bus contracts.
- **(404) freight tariffs** - Revenues earned from carrying freight on runs whose primary purpose is passenger operations.
- **(405) charter service revenues** - Revenues earned from operating vehicles under charter contracts.
- **(406) auxiliary transportation revenues** - Revenues earned from operations closely associated with the transportation operations (e.g., concessions, advertising, automobile ferriage, etc.)
- **(407) nontransportation revenues** - Revenues earned from activities not associated with the provision of the transit system's transit service (e.g., sale of maintenance services, rental of revenue vehicles, rental of buildings and other property, investment income, parking lot revenue, etc.)
- **(408) taxes levied directly by transit system** - Tax revenues to transit systems that are organized as independent political subdivision with their own taxation authority.
- **(409) local cash grants and reimbursements** - Funds obtained from local government units to assist in paying the cost of operating transit services.
- **(410) local special fare assistance** - Funds obtained from local government units to help cover the difference between full adult fares and special reduced fares. *(Includes local social service contract funds).*
- **(411) state cash grants and reimbursements** - Funds obtained from state government to assist in paying the cost of operating transit services. *(Includes Commission for the Transportation Disadvantaged grant funds).*
- **(412) state special fare assistance** - Funds obtained from state government to help cover the difference between full adult fares and special reduced fares. *(Includes state social service contract funds).*
- **(413) federal cash grants and reimbursements** - Funds obtained from the Federal government to assist in paying the cost of operating transit services. Include and identify the source of unrestricted Federal Funds used as match.
- **(414) interest income** - Revenues earned from the lending or deposit of funds.
- **(430) contributed services** - The receipt of services (not cash) from another entity where such services benefit transit operations and the transit operator is under no obligation to pay for the services.
- **(431) contributed cash** - The receipt of funds from another entity where such funds benefit transit operations and the transit operator is under no obligation to repay the funds.
- **(440) subsidy from other sectors of operations** - Funds obtained from other sectors of a transit company's operations to help cover the cost of providing transit service.



## 9.2. INSTRUCTIONS FOR COMPLETING FORM B-1

Applicants should complete both the “Total Expense” and “FTA Eligible Expense” columns of **Form B-1**. In completing the form, Community Transportation Coordinators (CTCs) may use expense information from the budget in their most current TDSP. The “Total Expense” column should show all operating and administrative expenses associated with the proposed transportation service. The definitions for each line item code, as provided in the Appendix of this manual, apply. The “FTA Eligible Expense” column should include only those expenses that are eligible under FTA rules for service provided in rural areas. This means, for example, that expenses for charter service, school bus service, transportation service not open to the general public, service exclusively inside an urbanized area, depreciation expense, and other ineligible expenses would not appear in the “FTA Eligible Expense” column.

After completing the expense columns on **Form B-1**, applicants should next complete **Form B-2** (see instructions below.)

Note: In completing Form B-1 and B-2, applicants serving both urban and rural areas should use the same mechanism for segregating urban and rural expenses as they do for segregating urban and rural revenues. (See “Services Across Urbanized / Rural Area Boundaries”, page 6).

### 9.3. FORM B-1: TRANSPORTATION RELATED OPERATING AND ADMINISTRATIVE EXPENSES

Name of Applicant: \_\_\_\_\_

Name of Transit Program: \_\_\_\_\_

Applicant Fiscal period start and end dates: \_\_\_\_\_ to \_\_\_\_\_

State Fiscal period from: July 1, 2016 to June 30, 2017

EXPENSE CATEGORY	TOTAL EXPENSE	FTA ELIGIBLE EXPENSE
Labor (501)	\$	\$
Fringe and Benefits (502)		
Services (503)		
Materials and Supplies (504)		
Vehicle Maintenance (504.01)		
Utilities (505)		
Insurance (506)		
Licenses and Taxes (507)		
Purchased Transit Service (508)		
Miscellaneous (509)		
Leases and Rentals (512)		
Depreciation (513)		
<b>TOTAL</b>	\$	\$ (a)

#### **SECTION 5311 GRANT REQUEST:**

**Total FTA Eligible Expenses (from Form B-1, above)** \$ \_\_\_\_\_ (a)

**Rural Passenger Fares (from Form B-2)** \$ \_\_\_\_\_ (b)

**Operating Deficit** \$ \_\_\_\_\_ (c)

**[FTA Eligible Expenses (a) minus Rural Passenger Fares (b)] (from Form B-2)**

**Section 5311 Request** \$ \_\_\_\_\_ (d)

**(No more than 50% of Operating Deficit)**

**Grant Total All Revenues (from Form B-2)** \$ \_\_\_\_\_ \*(e)

**Note: If Grand Total Revenues (e) exceeds FTA Eligible Expenses (a), reduce the Section 5311 Request (d) by that amount.**

## 9.4. INSTRUCTIONS FOR COMPLETING FORM B-2

Applicants should complete both the “Total Revenue” and “Revenue Used as FTA Match” columns of **Form B-2**. In completing **Form B-2**, CTCs may use revenue information from the budget in their most current TDSP. The “Total Revenue” column should show all revenues used to pay for the expenses shown in Form B-1, as noted previously. The definitions for each line item code, as provided in the Appendix of this manual, apply. The “Revenue Used as FTA Match” column separates total revenues from revenues accepted by FTA as match. This includes revenues in object codes 410, 411, 412, and 430. It also includes revenues in object code 413 EXCEPT for any FTA or other USDOT funds. In other words, FTA or other USDOT revenues should be deducted from the amount shown in object code 413 in the “Total Revenue” column, and the balance should be shown in the “Revenue Used as FTA Match” column.

Next, both columns should be totaled and (b) “Total Rural Passenger Fares” (401) and (e) “Grand Total Revenues” and this total should then be transferred to the grant request section of **Form B-1**.

To calculate the grant request on **Form B-1**:

- Enter the total (a) from the FTA Eligible Expense column of **Form B-1**.
- Enter the rural passenger fare revenue (b) from the first row of **Form B-2** (object Code 401- rural revenue).
- Subtract the passenger fare revenue (b) from the FTA Eligible Expense (a) to determine the operating deficit (c).
- Complete the Section 5311 request (d). Applicants may request no more than 50% of the operating deficit. Total revenues may not exceed total costs. Therefore, it may be necessary to adjust the Section 5311 request to an amount less than 50% of the deficit calculated.

## 9.5. FORM B-2: TRANSPORTATION-RELATED OPERATING AND ADMINISTRATIVE REVENUES

Name of Applicant: \_\_\_\_\_

Name of Transit Program: \_\_\_\_\_

Applicant Fiscal period start and end dates: \_\_\_\_\_ to \_\_\_\_\_

State Fiscal period from July 1, 2016 to June 30, 2017

OPERATING REVENUE CATEGORY	TOTAL REVENUE	REVENUE USED AS FTA MATCH
Passenger Fares for Transit Service (401)	<b>Total= \$</b> <b>Rural =\$ (b)</b>	
Special Transit Fares (402)		
School Bus Service Revenues (403)		
Freight Tariffs (404)		
Charter Service Revenues (405)		
Auxiliary Transportation Revenues (406)		
Non-transportation Revenues (407)		
<b>Total Operating Revenue</b>	<b>\$</b>	<b>\$</b>
<b>OTHER REVENUE CATEGORY</b>		
Taxes Levied directly by the Transit System (408)		
Local Cash Grants and Reimbursements (409)		
Local Special Fare Assistance (410)		
State Cash Grants and Reimbursements (411)		
State Special Fare Assistance (412)		
Federal Cash Grants and Reimbursements (413)		
Interest Income (414)		
Contributed Services (430)		
Contributed Cash (431)		
Subsidy from Other Sectors of Operations (440)		
<b>Total of Other Revenue</b>	<b>\$</b>	<b>\$</b>
<b>GRAND TOTAL ALL REVENUE</b>	<b>\$</b>	<b>\$ (e)</b>

## 9.6. FORM B-3: LOCAL MATCH FOR THIS APPLICATION

The Section 5311 federal share of eligible operating expenses may not exceed 50%. Some combination of state, local, or private funding sources must be identified and committed to provide the required non-federal share. The non-federal share may be cash, or in-kind contributions. Funds may be local, private, state, or (up to one half) unrestricted Federal funds. Funds may not include any borrowed against the value of capital equipment funded in whole or in part by State and/or Federal sources.

The Section 5311 Program is unique to Federal programs in that it permits up to one half the required match to be derived from other unrestricted Federal funds. Federal funds are unrestricted when a Federal agency permits its funds to match Section 5311. Essentially, all Federal social service programs, such as Medicaid, employment training, vocational rehabilitation services and Temporary Assistance for Needy Families, using transit services are unrestricted; other USDOT Programs are not.

Contract revenue from the provision of transit services to social service agencies may also be used as local match. The costs associated with providing the contract revenue service must be included in the project budget if using contract revenue as match. In most other Federal programs, such revenues would be treated as program income, not as match.

**Non-cash, in-kind contributions such as donations of goods or services, volunteered services are eligible to be counted towards the local match only if their value is formally documented, supported and pre-approved by the District Office.** Any funds committed as match to another Federal program may not be used to match Section 5311 funds.

**The Applicant Agency must certify that matching funds are available at the time of application.**

Name of Applicant: \_\_\_\_\_

**Sources and amounts of local share for the operating assistance being requested:**

SOURCE:	AMOUNT:

\_\_\_\_\_  
(Signature of authorized representative)

\_\_\_\_\_  
(Name and title of authorized representative)

**Attach documentation of match funds immediately behind this page. Proof may consist of, but not be limited to: written statements from county commissions, state agencies, city managers, mayors, town councils, organizations, accounting firms and financial institutions.**

## 9.7. FORM B-4: BREAKDOWN OF TRANSPORTATION COSTS

If operating funding is being requested the applicant must complete one of the two (2) requested sections within Form B-3. The applicant can elect to complete the form using

1) Hourly Rate or 2) Per Trip Rate (one or the other) calculation. Only one rate calculation (hourly operating rate or per trip rate) section must be provided with the grant application.

If the applicant has an approved rate by the Commission for Transportation Disadvantaged (TD) for reimbursable service to TD clients include this rate with your application.

### Hourly Rate Calculation

*Note: If you elect to use this (hourly rate) calculation do not complete the Per Trip Rate calculation section.*

### Operating Expenses (Operating Budget)

EXPENSE ITEM	EXPENSE AMOUNT \$
Driver Wages and Benefits	
Cost of Leases (Vehicles, Equipment, Infrastructure, etc.)	
Fuel	
Maintenance	
Other (Modify the form to list all that apply)	
<b>TOTAL EXPENSES</b>	(a)

### Operating Revenues

REVENUE ITEM	REVENUE AMOUNT \$
Federal Grants or Subsidies	
State Grants or Subsidies	
Local Grants or Subsidies	
Revenues from Advertising or Similar	
Other (Modify the form to list all that apply)	
<b>TOTAL REVENUE</b>	(b)

### Net Transportation Cost

Total Expenses (a) – Total Revenues (b) = **Net Transportation Cost (c) Service**

**Hours Per Year** \_\_\_\_\_ (d)

### Hourly Rate

Net Transportation Cost (c) / Service Hours Per Year (d) = **Hourly Rate (e)**

### Total Project Cost

Number of vehicles x Hours each day x Number of days per year x Hourly rate (e) =

**Total Project Cost (f)**

### Estimate Farebox Revenues

Use the yearly reported farebox recovery ratio to calculate the estimated farebox revenues. The farebox recovery ratio is the amount of operating expenses that are recovered by passenger fares. The farebox recovery ratio is calculated by dividing the farebox revenue by the total operating expenses.

Total Project Cost (f) x Farebox Recovery Ratio = **Estimated Farebox Revenue (g) Net Project Cost**

Total Project Cost (f) - Farebox Revenue (g) = **Net Project Cost (h)**

### FDOT or FTA Contribution (50% of Net Project Cost)

Net Project Cost (h) x 50% (.50) = **FDOT or FTA Contribution (i)**

### Per Trip Rate Calculation

*Note: If you elect to use this (per trip rate) calculation do not complete the Hourly Rate calculation section.*

### Operating Expenses (Operating Budget)

EXPENSE ITEM	EXPENSE AMOUNT \$
Driver Wages and Benefits	
Cost of Leases (Vehicles, Equipment, Infrastructure, etc.)	
Fuel	
Maintenance	
Other (Modify the form to list all that apply)	
<b>TOTAL EXPENSES</b>	(a)

### Operating Revenues

REVENUE ITEM	REVENUE AMOUNT \$
Federal Grants or Subsidies	
State Grants or Subsidies	
Local Grants or Subsidies	
Revenues from Advertising or Similar	
Other (Modify the form to list all that apply)	
<b>TOTAL REVENUE</b>	(b)

### Net Transportation Cost

Total Expenses (a) – Total Revenues (b) = **Net Transportation Cost (c) Service**

**Trips Per Year** \_\_\_\_\_ (d)

### Rate Per Trip

Net Transportation Cost (c) / Service Trips Per Year (d) = **Rate Per Trip (e)**

### Total Project Cost

Number of Vehicles x Trips per day x Number of days per year x Rate per trip (e) =  
**Total Project Cost (f)**

### Estimate Farebox Revenues

Use the yearly reported farebox recovery ratio to calculate the estimated farebox revenues. The farebox recovery ratio is the amount of operating expenses that are recovered by passenger fares. The farebox recovery ratio is calculated by dividing the farebox revenue by the total operating expenses.

Total Project Cost (f) x Farebox Recovery Ratio = **Estimated Farebox Revenue (g) Net Project**

### Cost

Total Project Cost (f) - Farebox Revenue (g) = **Net Project Cost (h)**

### FDOT or FTA Contribution (50% of Net Project Cost)

Net Project Cost (h) x 50% (.50) = **FDOT or FTA Contribution (i)**



## 9.8. FORM B-5: CALCULATING SERVICE AREA PERCENTAGES

Note: Use this form **only** if your request is for operating costs in **more than one service area type** (i.e., Urban, Small Urban, and Rural).

### Step 1:

Based upon your proposed and current project description, you will need to calculate the percentage of service within the urban, small urban and/or rural parts of the service area. To do so, take the number of trips, revenue service hours or revenue service miles originating in each area (Urban, Small Urban and Rural) and divide them by the total number of trips, revenue service hours or revenue service miles. You will need your map, A-1 Fact Sheet and/or the Proposed Project Description to determine this.

Urban = UZA	Small Urban = SUZA	Rural = Rural
-------------	--------------------	---------------

#### Example:

**If your agency makes 500 trips per year and 100 of those trips are urban then:**

100 UZA trips/ 500 total trips =  $.2 * 100 = 20\%$  UZA service area

**If your agency makes 500 trips per year and 200 of those trips are small urban then:**

200 SUZA trips/ 500 total trips =  $.4 * 100 = 40\%$  SUZA service area

**If your agency makes 500 trips per year and 200 of those trips are rural then:**

200 Rural/ 500 total trips =  $.4 * 100 = 40\%$  Rural service area

### Step 2:

Once you have determined how the service area is split between UZA, SUZA and Rural, you will need to calculate the funding split. To do so, you must separate your total amount requested into the designated funding split you calculated in step 3.

#### Example:

Total Requested: \$300,000.00

Funding Split: UZA:  $\$300,000 * .2 = \$60,000.00$

SUZA:  $\$300,000 * .4 = \$120,000.00$

Rural:  $\$300,000 * .4 = \$120,000.00$

\*Note: When invoicing for the project, you must use the above funding split on your invoice summary forms.

### Step 3:

Once you have determined the funding split between UZA, SUZA and Rural, you will need to calculate the match amount required to complete the Form 424. Use the amounts calculated in step 4 to complete this task.

#### Example:

***Operating Assistance (50% Federal and 50% Local):***

UZA:  $\$60,000.00 * .5 = \$30,000.00$  Federal and  $\$30,000.00$  Local

SUZA:  $\$120,000.00 * .5 = \$60,000.00$  Federal and  $\$60,000.00$  Local

Rural:  $\$120,000.00 * .5 = \$60,000.00$  Federal and  $\$60,000.00$  Local

***Capital Assistance (80% Federal, 10% State and 10% Local):***

UZA:  $\$60,000.00 * .8 = \$48,000$  Federal,  $\$6,000$  State and  $\$6,000$  Local

SUZA:  $\$120,000 * .8 = \$96,000$  Federal,  $\$12,000$  State and  $\$12,000$  Local

Rural:  $\$120,000 * .8 = \$96,000$  Federal,  $\$12,000$  State and  $\$12,000$  Local

## 10. APPLIES TO APPLICANTS FOR CAPITAL ASSISTANCE

### 10.1. TRANSPORTATION-RELATED OPERATING AND ADMINISTRATIVE EXPENSES & REVENUES

Information regarding the applicant's transit-related operating and administrative expenses and revenues must be provided with the application. **Forms C-1 and C-2** are included in this manual for that purpose. These forms should provide information about operating and administrative expenses of the vehicles or service operated/provided by the applicant, as described in **Exhibits A and B** of the application, and information about the sources of revenue used to pay for these expenses.

The budget line items shown on the forms were originally defined in the Transportation Accounting Consortium's Model Uniform Accounting System for Rural and Specialized Transportation Providers (TAC Manual). The account numbers in parentheses are the object code numbers for these line items in the TAC Manual and in FTA National Transit Data Reports (NTD). Definitions for expense and revenue line items are included below.

Applicants should show the transit-related operating and administrative expenses and revenues of their agency as projected for the year the Section 5311 Grant Award is requested. For example, the projected expense and revenue budgets for fiscal year 2016/2017 should be used if Section 5311 assistance is requested by the agency for use in fiscal year 2016/2017.

**DEFINITIONS:** *Source: (National Transit Data Report - NTD)*

<http://www.ntdprogram.gov/ntdprogram/Glossary.htm>

#### **Operating and Administrative Expenses:**

- **(501) labor** - The pay and allowances due employees in exchange for the labor services they render in behalf of the transit system.
- **(502) fringe and benefits** - Payments or accruals to others (insurance companies, governments, etc.) on behalf of an employee and payments or accruals direct to an employee arising from something other than his performance of a piece of work.
- **(503) services** - Labor and other work provided by outside organizations for fees and related expenses.
- **(504) materials and supplies** - Tangible products obtained from outside suppliers or manufactured internally.
- **(504.01) vehicle maintenance** - Cost of fuel and lubricants, tires and tubes, vehicle maintenance parts.
- **(505) utilities** - Payments made to various utilities for utilization of their resources (e.g., electric, gas, water, telephone, etc.)
- **(506) insurance** - Cost elements covering protection of the transit system from loss through insurance programs; compensation of others for their losses due to acts for which the transit system is liable; and recognition of the cost of a miscellaneous category of corporate losses.
- **(507) license and taxes** - Taxes and fees levied against the transit system by Federal, state, and local governments.

- **(508) purchased transit service** - The payment or accrual to other transit systems for providing transportation service.
- **(509) miscellaneous** - Those expenses which cannot be attributed to any of the other major expense categories.
- **(512) leases and rentals** - Payments for the use of capital assets not owned by the transit system.
- **(513) depreciation** - Charges that reflect the loss in service value of the transit system's assets.

#### **Operating and Administrative Revenues:**

- **(401) passenger fares for transit services** - Revenue earned from carrying passengers along regularly scheduled routes.
- **(402) special transit fares** - Revenues earned for rides given in regular transit service, but paid for by some organization rather than by the rider, and for rides given along special routes for which revenue may be guaranteed by a beneficiary of the service.
- **(403) school bus service revenues** - Revenues earned from operating vehicles under school bus contracts.
- **(404) freight tariffs** - Revenues earned from carrying freight on runs whose primary purpose is passenger operations.
- **(405) charter service revenues** - Revenues earned from operating vehicles under charter contracts.
- **(406) auxiliary transportation revenues** - Revenues earned from operations closely associated with the transportation operations (e.g., concessions, advertising, automobile ferriage, etc.)
- **(407) nontransportation revenues** - Revenues earned from activities not associated with the provision of the transit system's transit service (e.g., sale of maintenance services, rental of revenue vehicles, rental of buildings and other property, investment income, parking lot revenue, etc.)
- **(408) taxes levied directly by transit system** - Tax revenues to transit systems that are organized as independent political subdivision with their own taxation authority.
- **(409) local cash grants and reimbursements** - Funds obtained from local government units to assist in paying the cost of operating transit services.
- **(410) local special fare assistance** - Funds obtained from local government units to help cover the difference between full adult fares and special reduced fares. *(Includes local social service contract funds).*
- **(411) state cash grants and reimbursements** - Funds obtained from state government to assist in paying the cost of operating transit services. *(Includes Commission for the Transportation Disadvantaged grant funds).*
- **(412) state special fare assistance** - Funds obtained from state government to help cover the difference between full adult fares and special reduced fares. *(Includes state social service contract funds).*
- **(413) federal cash grants and reimbursements** - Funds obtained from the Federal government to assist in paying the cost of operating transit services. Include and identify the source of unrestricted

Federal Funds used as match.

- **(414) interest income** - Revenues earned from the lending or deposit of funds.
- **(430) contributed services** - The receipt of services (not cash) from another entity where such services benefit transit operations and the transit operator is under no obligation to pay for the services.
- **(431) contributed cash** - The receipt of funds from another entity where such funds benefit transit operations and the transit operator is under no obligation to repay the funds.
- **(440) subsidy from other sectors of operations** - Funds obtained from other sectors of a transit company's operations to help cover the cost of providing transit service.

## 10.2. FORM C-1: TRANSPORTATION RELATED OPERATING AND ADMINISTRATIVE EXPENSES

Name of Applicant: \_\_\_\_\_

Name of Transit Program: \_\_\_\_\_

Applicant Fiscal period start and end dates: \_\_\_\_\_ to \_\_\_\_\_

State Fiscal period from: July 1, 2016 to June 30, 2017

EXPENSE CATEGORY	EXPENSE \$
Labor (501)	\$
Fringe and Benefits (502)	
Services (503)	
Materials and Supplies (504)	
Vehicle Maintenance (504.01)	
Utilities (505)	
Insurance (506)	
Licenses and Taxes (507)	
Purchased Transit Service (508)	
Miscellaneous (509)	
Leases and Rentals (512)	
Depreciation (513)	
<b>TOTAL EXPENSE</b>	\$

## 10.3. FORM C-2: TRANSPORTATION- RELATED OPERATING AND ADMINISTRATIVE REVENUES

OPERATING REVENUE CATEGORY	REVENUE \$
Passenger Fares for Transit Service (401)	
Special Transit Fares (402)	
Other (403 – 407) (identify by appropriate code)	
<b>TOTAL OPERATING REVENUE</b>	\$
<b>OTHER REVENUE CATEGORY</b>	
Taxes Levied Directly by the Transit System (408)	
Local Cash Grants and Reimbursements (409)	
Local Special Fare Assistance (410)	
State Cash Grants and Reimbursements (411)	
State Special Fare Assistance (412)	
Federal Cash Grants & Reimbursements (413)	
Interest Income (414)	
Contributed Services (430)	
Contributed Cash (431)	
Subsidy from Other Sectors of Operations (440)	
<b>TOTAL OF OTHER REVENUE</b>	\$
<b>GRAND TOTAL ALL REVENUE</b>	\$

#### 10.4. FORM C-3: LOCAL MATCH FOR THIS APPLICATION

Some combination of state, local, or private funding sources must be identified and committed to provide the required non-federal share. Applicants may not borrow funds to use as match nor may they place liens on Section 5311 funded vehicles or equipment. The federal share of eligible capital costs shall not exceed 80%.

**The agency must certify that matching funds are available at the time of application.**

Name of Applicant: \_\_\_\_\_

**Sources and amounts of local share for the vehicles/equipment, or mobility management, being requested:**

SOURCE:	AMOUNT:

\_\_\_\_\_  
(Signature of authorized representative)

\_\_\_\_\_  
(Name and title of authorized representative)

**Attach documentation of match funds immediately behind this page. Proof may consist of, but not be limited to: written statements from county commissions, state agencies, city managers, mayors, town councils, organizations, accounting firms and financial institutions.**

## 10.5. FROM C-4: CURRENT VEHICLE AND TRANSPORTATION EQUIPMENT INVENTORY FORM

**Applicants must complete the “Current Vehicle and Transportation Equipment Inventory” (Form C-4), see next page.** Applicants should refer to the “What’s on the Market” summary located in Appendix 11.1 to identify the vehicle types available, but should also reference the [TRIPS website](#) to access the contracts for the vehicle(s) they are interested in to estimate the cost to fulfill their agency’s specific needs and the amount of their request. The form must include:

- A current list of all vehicles and equipment used by the applicant to transport individuals, including those bought in previous years with Federal funds;
- Those vehicles bought with other than Federal funds;
- Those vehicles now on order; and
- Those vehicles to be ordered with grant awards made in previous years.
- An asterisk (\*) should be placed next to the model year of vehicles to be replaced with the grant being applied for with this application.
- Vehicles can only be listed as “replacement” once. If a replacement award was previously given for a vehicle, that vehicle cannot be listed for replacement again.
- Vehicles operated by the applicant’s contractor or lessee should also be identified, and the name of the contractor/lessee shown in Exhibit B of the application.



**Form C-4: CURRENT VEHICLE AND TRANSPORTATION EQUIPMENT INVENTORY (a)**

Date of Inventory \_\_\_\_\_

Agency Name \_\_\_\_\_

Model Yr. (b)	Make/size /type (C)	FDOT control # and VIN (d)	Ramp or lift (specify)	Seats & W/C positions (i.e. 12+2)	Avg. miles/ Yr.	Current Mileage	Vehicle Status (Active/Spare/ Other)	Expected retirement date	Other equipment (e)	Funding source (f)

**(a) Applicants must use this form.**

(b) Identify vehicles to be replaced with this or other grant by placing an asterisk (\*) next to the model year. In Exhibit B of the application, provide the name of the lessee or contractor, if applicable.

(c) For example, Ford 22' bus; Dodge converted van.

(d) Show FDOT control number OR VIN if bought with grant through FDOT. If bought through other funding, list the complete VIN.

(e) Include computer hardware and software, copiers, printers, mobile radios, communication systems, etc.

(f) Identify the grant or other funding source used for purchasing the vehicle/equipment.

## 10.6. FROM C-5: CAPITAL REQUEST

Applicants must complete the “Capital Request”, **Form C-5**, provided in this manual. The upper part of the form (vehicle request) covers vehicles; the lower (equipment requests), covers other capital equipment such as radios, computer software, computer hardware, etc. Any bus options that are part of purchasing the bus itself should be part of the vehicle request and NOT separated out under equipment.

**NOTE: In the case of vehicles, applicants should be sure to indicate whether the new vehicle is to replace (R) an older vehicle or expand (E) the fleet by adding a new vehicle. The length of the vehicle, the number of passenger seats & wheelchair positions, lift or ramp, and the type of fuel is also important because this affects the cost. The make of the vehicle should not be shown on the form.**

Applicants should refer to “**What’s on the Market**”, located in Appendix 11.1, to identify the most appropriate vehicle type for its needs, and the estimated cost. The appropriate FDOT District Office may be contacted for assistance (see Appendix 11.8).

**FORM C-5: CAPITAL REQUEST FORM**  
**VEHICLE REQUEST**

**Name of Agency:** \_\_\_\_\_

R or E (a)	Quantity	Description (b) <a href="http://www.tripsflorida.org">www.tripsflorida.org</a>	Estimated Cost
Sub-total			\$

(a) Replacement (R) or Expansion (E).

(b) Provide a brief description including the length and type vehicle, type of fuel, lift or ramp, number of seats and wheelchair positions. For example, 22' gasoline bus with lift, 12 ambulatory seats, and 2 wheelchair positions. Do not show the Make.

**EQUIPMENT REQUEST (c)**

If item requested is after-market, it is recommended to gather and retain at least two estimates for the equipment requested. Purchases must be approved at the local level and follow procurement guidelines.

	Quantity	Description	Estimated Cost
Sub-total			\$

(c) Show mobile radios and identify the type of radio (i.e. two way radio or stereo radio), computer hardware/software, etc. under "Equipment Request."

**VEHICLE SUBTOTAL \$ \_\_\_\_\_ + EQUIPMENT SUBTOTAL \$ \_\_\_\_\_ = \$ \_\_\_\_\_ (x).**

**(x) X 80% = \$ \_\_\_\_\_ [This equals the Federal request. Show this amount on Form 424 in block 18(a)]**

## 10.7. FORM C-6: CAPITAL REQUEST METHODOLOGY FORM

Complete one request form if all vehicles being requested are the same type and configuration. Complete another form to request a vehicle of a different type and configuration. Limit of up to **FIVE (5)** vehicle requests per applicant.

Information to fill this form out may be found at on the TRIPS website <http://tripsflorida.org/> and or at the DMS website [http://dms.myflorida.com/business\\_operations/state\\_purchasing](http://dms.myflorida.com/business_operations/state_purchasing) for small vehicles; cars or station wagons.

**Applicant Agency Name:**

---

**Contact Person:**

---

(Name, Telephone Number, and Email)

**Vendor Name and Contact info:**

---

(Vendor, Dealer's Name, Telephone Number)

**Contract #:**

---

**Brief Vehicle Description:**

---

*(Example: 3 – 22' gas cutaways with lift, 12 ambulatory seats and 2 wheelchair positions)*

**Price Estimation Table:** Select only options available in the contract you are interested in. If there are no choices selected on any given row, we understand that you do not need that option.

**Computer users** – the rows in yellow have formulas to calculate totals. To make the formulas work, first fill out the columns of unit cost \$ and quantity # and then **right click in the yellow cell and click Update Field.**

Item*	Unit Cost	Quantity	Unit Cost x Quantity (Total Cost)
<b>Base Vehicle Type</b> (Make, Model, Size/Length)			
<b>Vehicle Description:</b>			
<b>Floor Plan:</b> Seat Manufacturer Name:			
<b>Floor Plan/Ambulatory Seats:</b> May choose more than one type of seat if needed.			
Standard Seat:			
Foldaway Seat:			
Child Seat:			
Other:			
<b>Securement Systems:</b>			
Wheelchair Securement:			
Seat Belt Extensions: <input type="checkbox"/> No <input type="checkbox"/> Yes, if yes quantify			
Stretcher Securement: <input type="checkbox"/> No <input type="checkbox"/> Yes, if yes quantify			
<b>Wheelchair Lift</b> (Include Vendor Name and Cost):			
<b>Engine Type:</b>			
<b>Paint Scheme:</b> <input type="checkbox"/> No <input type="checkbox"/> Yes, if yes quantify			
<b>Vehicle Subtotal:</b>			
<b>Title VI Notice Signs/Plaques:</b>			
<b>Equipment:</b>			
<b>Other:</b>			
<b>Equipment:</b>			
<b>Other:</b>			
<b>Equipment Subtotal:</b>			
<b>Total:</b>			

\* Additional items besides those listed on the form can be added by inserting another line or by submitting a sample copy of the order form for the vehicle filled out to your specifications.

Add up the subtotals from all the Capital Request forms you filled out for this application to arrive at the total. The Total x 80% = Federal Portion (to be shown in block 18(a) of Form 424).

Total		Federal Percent	= Federal Portion
	X	.8 (80%)	

## 10.8. EXHIBIT C: PUBLIC HEARING

**An opportunity for a public hearing is required ONLY for Public Agencies requesting Section 5311 Capital Assistance. An application for Section 5311 Capital Assistance submitted by a public agency should contain a copy of the notice of public hearing (identified as Exhibit C) and an affidavit of publication.**

A sample public notice is located in Appendix 11.4 of this manual. A public notice should contain all pertinent information relating to the project (such as number and types of vehicles as well as the estimated cost of the vehicles) and should run at least one time in a newspaper of general circulation in the applicant's service area, no less than 15 or more than 30 days prior to the submission of an application. The notice should state that persons requesting a hearing must notify the applicant of the request, in writing, and send a copy of the request for a hearing to the FDOT District Office.

The deadline for hearing requests **must** be prior to the date applications are due at the District Office. If a hearing is requested:

1. A hearing must be conducted;
2. The FDOT District Office must be notified of the date, time, and location of the hearing; and
3. A copy of the minutes of the hearing (to include a discussion of issues raised and resolution of issues) must be submitted to the FDOT District Office, before a Section 5311 Award can be made.

## 10.9. EXHIBIT D: LEASING

### MEMORANDUM for FTA 5311

**Date:** \_\_\_\_\_

**From:** \_\_\_\_\_  
(Typed name and title) (Signature)

\_\_\_\_\_  
(Typed or printed agency name)

**To:** **Florida Department of Transportation, District Office  
Modal Development Office / Public Transit**

**Subject:** **YEAR 2016 GRANT APPLICATION TO THE  
FEDERAL TRANSIT ADMINISTRATION,  
OPERATING OR CAPITAL GRANTS FOR RURAL AREAS PROGRAM,  
49 UNITED STATES CODE SECTION 5311**

---

Will the \_\_\_\_\_, as applicant to the Federal Transit  
(Name of applicant agency)

Administration Section 5311 Program, lease the proposed vehicle(s) or equipment out to a third-party?

\_\_\_ Yes \_\_\_ No

If yes, specify to whom:

\_\_\_\_\_  
\_\_\_\_\_

**NOTE: It is the responsibility of the applicant agency to ensure District approval of all lease agreements.**

## 10.10.EXHIBIT F: CERTIFICATION FOR AGENCIES REQUESTING NON-ACCESSIBLE VEHICLES

If the applicant wants to purchase non-accessible vehicles for demand responsive service, they must provide a detailed explanation as to the need for this type of vehicle (sedan, station wagon or passenger van) in addition to the following “Certification of Equivalent Service” must be completed and included in the application.

### CERTIFICATION OF EQUIVALENT SERVICE

The \_\_\_\_\_ certifies that its demand responsive service offered to individuals with disabilities, including individuals who use wheelchairs, is equivalent to the level and quality of service offered to individuals without disabilities. Such service, when viewed in its entirety, is provided in the most integrated setting feasible and is equivalent with respect to:

1. Response time;
2. Fares;
3. Geographic service area;
4. Hours and days of service;
5. Restrictions on trip purpose;
6. Availability of information and reservation capability; and
7. Constraints on capacity or service availability.

In accordance with 49 CFR Part 37, public entities operating demand responsive systems for the general public which receive financial assistance under 49 U.S.C. 5310 and 5311 of the Federal Transit Administration (FTA) funds must file this certification with the appropriate state program office before procuring any inaccessible vehicle. Such public entities not receiving FTA funds shall also file the certification with the appropriate state office program. Such public entities receiving FTA funds under any other section of the FTA Programs must file the certification with the appropriate FTA regional office. This certification is valid for no longer than one year from its date of filing.

Executed this \_\_\_\_\_ day of \_\_\_\_\_,

\_\_\_\_\_

(Signature of authorized representative)

\_\_\_\_\_

(Typed name and title of authorized representative)



## **10.11.EXHIBIT G: APPLICANT CERTIFICATION AND ASSURANCES TO FDOT**

**To be completed and signed by an individual authorized by the governing board of the applicant agency and submitted with the grant application.**

The \_\_\_\_\_ (undersigned) \_\_\_\_\_ certifies and assures to the Florida Department of Transportation in regard to its Application under U.S.C. Section 5311 dated \_\_\_\_\_:

- 1) It shall adhere to all Certifications and Assurances made to the federal government in its Application.
- 2) It shall comply with Florida Statutes:
  - a. Section 341.051- Administration and financing of public transit and intercity bus service programs and projects
  - b. Section 341.061 (2) - Transit Safety Standards; Inspections and System Safety Reviews
- 3) It shall comply with Florida Administrative Code:
  - a. Rule Chapter 14-73 - Public Transportation
  - b. Rule Chapter 14-90 - Equipment and Operational Safety Standards for Bus Transit Systems
  - c. Rule Chapter 14-90.0041 - Medical Examination for Bus System Driver
  - d. Rule Chapter 41-2 - Definitions
- 4) It shall comply with the FDOT's:
  - a. Bus Transit System Safety Program Procedure No. 725-030-009
  - b. Public Transit Substance Abuse Management Program Procedure No. 725-030-035
  - c. Transit Vehicle Inventory Management Procedure No. 725-030-025
  - d. Public Transportation Vehicle Leasing Procedure No. 725-030-001
  - e. Guidelines for Acquiring Vehicles
  - f. Procurement Guidance for Transit Agencies Manual
- 5) It has the fiscal and managerial capability and legal authority to file the application.
- 6) Local matching funds will be available to purchase vehicles/equipment at the time an order is placed.
- 7) It will carry adequate insurance to maintain, repair, or replace project vehicles/equipment in the event of loss or damage due to an accident or casualty.
- 8) It will maintain project vehicles/equipment in good working order for the useful life of the vehicles/equipment.
- 9) It will return project vehicles/equipment to the FDOT if, for any reason, they are no longer needed or used for the purpose intended.

- 10) It recognizes the FDOT's authority to remove vehicles/equipment from its premises, at no cost to the FDOT, if the FDOT determines the vehicles/equipment are not used for the purpose intended, improperly maintained, uninsured, or operated unsafely.
- 11) It will not enter into any lease of project vehicles/equipment or contract for transportation services with any third party without prior approval of the FDOT.
- 12) It will notify the FDOT within 24 hours of any accident or casualty involving project vehicles/equipment, and submit related reports as required by the FDOT.
- 13) It will submit an annual financial audit report to the FDOT ([FDOTSingleAudit@dot.state.fl.us](mailto:FDOTSingleAudit@dot.state.fl.us)) if required by the FDOT.

Date: \_\_\_\_\_

(Typed name and title of authorized representative)

\_\_\_\_\_  
(Signature of authorized representative)

## 10.12. EXHIBIT H: PROTECTION OF THE ENVIRONMENT (IF GRANT IS FOR FACILITIES)

Most transit projects funded under Section 5311 will be classified by FTA as categorical exclusions. Examples of categorical exclusions include purchase of transit vehicles, and purchase of office equipment. If the proposed project is for construction or acquisition of facilities or other buildings, further evaluation may be required before a determination can be made that the project is a categorical exclusion. A Categorical Exclusion (CE) is described in 40 Code of Federal Regulations (CFR) 1508.4 and 23 CFR 771, as a project which, based upon past experience with similar actions, does not individually or cumulatively have a significant environmental effect, and is excluded from the requirement to prepare an Environmental Assessment (EA) or an Environmental Impact Statement (EIS). Therefore, a project that qualifies as a CE generally requires a lower level of documentation. These projects do not bring significant impacts to planned growth or land use for the area; do not require the relocation of significant numbers of people; do not have a significant impact on any natural, cultural, recreational, historic, or other resources; do not involve significant air, noise, or water quality impacts; do not have significant impacts on travel patterns; and do not otherwise individually or cumulatively have any significant environmental impacts.

Types of projects that have been determined by FTA to qualify as CEs, and normally do not require any further National Environmental Policy Act (NEPA) approvals by FTA, are listed in 23 CFR 771.118(c). Additional actions which meet the criteria for a CE but may be designated as CEs only after FTA approval are listed in 23 CFR 771.118 (d). In these cases, the applicant must submit documentation which demonstrates that the specific conditions or criteria for these CEs are satisfied and that significant environmental effects will not result.

To meet the requirements of a CE goal, a proposed project may not be impermissibly segmented from a larger project. This means that a project may be proposed to be implemented in phases or as part of a larger undertaking, but must still demonstrate independent utility, connect logical termini, and should not restrict consideration of alternatives. In order to meet a CE designation, a proposed project cannot have substantial controversy on environmental grounds, or significant impact to properties protected by Section 4(f) of the US DOT Act (public park and recreation lands, wildlife and waterfowl refuges, and historic sites) or Section 106 of the National Historic Preservation Act (cultural resources including historic and archaeological sites). The presence of features such as wetlands and floodplains within the project area would likely also require additional documentation.

- **The applicant should contact the Florida Department of Transportation (FDOT) District Office for assistance with determining the level of documentation required.** The FDOT will use a description of the proposed project, along with any maps or figures to assist with determining if a proposed project is likely to meet FTA criteria for a CE.

## 11. APPENDIX

### 11.1. WHAT'S ON THE MARKET

Below is a listing of all active contracts available through the FDOT TRIPS Program for the purchase of new transit vehicles. **The Auto and Light Truck contract can be found at [The Florida Department of Management Services \(DMS\) website](#).** Some new types of vehicles have entered the community transportation market in the last few years. They generally fall into the following categories of expected minimum life of service years and mileage:

**FDOT Minimum Service Life – 5 years and/or 200,000 miles:**

**MINI BUS (Formally: Commuter Van 9-Passenger Center Aisle Vehicles)**

**Anticipated award date: Fall, 2015**

#### **MV-1 PURPOSE BUILT SPECIAL NEEDS VEHICLE**

Creative Bus Sales, LLC					
GVWR/Length	Ambulatory Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
6,600#/205"	0 - 6	\$46,598	0 - 2	TRIPS-12-SNV-CBS	Order Packet

#### **MINIVANS**

The extended low floor minivan with mobility ramp is intended to be used as a Paratransit or Supervisor vehicle. The vehicle provides public transportation for a maximum of six (6) ambulatory passengers or a maximum of two (2) wheelchair passengers and three (3) ambulatory passengers. These configurations exclude the driver.

Florida Transportation Systems, Inc.					
GVWR/Length	Ambulatory Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
6,050#	3-6	\$42,130-\$44,702	2	TRIPS-13-MV-FTS	Order Packet

#### **STANDARD CUTAWAY**

Each dealer offers a variety of models built on a variety of chassis' and chassis weights. Please contact the dealer directly for questions on capacity, floor plans, and pricing. These contracts will be replaced when new contracts are awarded from the RFP recently issued.

**Anticipated new award date: January 31, 2016**

	Contract #	Order Packet & Pricing
<b>Alliance Bus Group</b>	TRIPS-11-CA-FCCSC	Order Packet
<b>Getaway Bus, LLC</b>	TRIPS-11-CA-GB	Order Packet

**SMALL CUTAWAY LOW FLOOR**

**This contract expires July 31, 2015**

Chevrolet 3500 Chassis 12,300# GVWR

Chevrolet 4500 14,200# GVWR

International 25,500# GVWR

Small low floor chassis transit vehicle with wheel chair ramp, produced by Arboc Mobility

( ) - Indicates number of seats without wheel chairs.

Alliance Bus Group					
GVWR/Length	Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
12,300#/21'	6 – 12 (15)	\$109,100 - \$131,800	1	TRIPS-10-SCLF-FCCS Optional Hybrid Drive	Order Packet
14,200#/23'	6 – 12 (23)	\$117,000 - \$150,000	1 - 3		

**FDOT Minimum Service Life – 10 years and/or 350,000 miles:**

**MEDIUM DUTY**

**Expired – RFP will be issued in the Fall, 2015**

## 11.2. SAMPLE - RESOLUTION FORM

### (On Agency Letterhead)

A **RESOLUTION** of the \_\_\_\_\_ (Governing Board) \_\_\_\_\_ authorizing the signing and submission of a grant application and supporting documents and assurances to the Florida Department of Transportation, the acceptance of a grant award from the Florida Department of Transportation, and the purchase of vehicles and/or equipment and/or expenditure of grant funds pursuant to a grant award.

**WHEREAS**, \_\_\_\_\_ (Applicant) \_\_\_\_\_ has the authority to apply for and accept grants and make purchases and/or expend funds pursuant to grant awards made by the Florida Department of Transportation as authorized by Chapter 341, Florida Statutes and/or by the Federal Transit Administration Act of 1964, as amended;

**NOW, THEREFORE, BE IT RESOLVED BY THE** \_\_\_\_\_ (Governing Board) \_\_\_\_\_, FLORIDA:

1. This resolution applies to Federal Program(s) under U.S.C. Section(s) \_\_\_\_\_.
2. The submission of a grant application(s), supporting documents, and assurances to the Florida Department of Transportation is approved.
3. \_\_\_\_\_ (Authorized Individual by Name and Title) \_\_\_\_\_ is authorized to sign the application, accept a grant award, purchase vehicles/equipment and/or expend grant funds pursuant to a grant award, unless specifically rescinded.

**DULY PASSED AND ADOPTED THIS** \_\_\_\_\_, 201\_\_

By: \_\_\_\_\_  
(Signature, Chairman of the Board)

\_\_\_\_\_  
(Typed Name and Title)

**ATTEST:**

\_\_\_\_\_ (seal)

### 11.3. SAMPLE – COVER LETTER

**(On Agency Letterhead)**

**STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION**  
**GRANT APPLICATION**

\_\_\_\_\_ (agency name) submits this Application for the Section 5311 Program Grant and agrees to comply with all assurances and exhibits attached hereto and by this reference made a part thereof, as itemized in the Checklist for Application Completeness.

\_\_\_\_\_ (agency name) further agrees, to the extent provided by law (in case of a government agency in accordance with Sections 129.07 and 768.28, Florida Statutes) to indemnify, defend and hold harmless the FDOT and all of its officers, agents and employees from any claim, loss, damage, cost, charge, or expense out of the non-compliance by the Agency, its officers, agents or employees, with any of the assurances stated in this Application.

This Application is submitted on this \_\_\_\_\_ day of \_\_\_\_\_, 201\_\_\_\_ with two (2) original resolutions or certified copies of the original resolution authorizing \_\_\_\_\_ (Name & Title) to sign this Application.

Agency Name

By \_\_\_\_\_ Date \_\_\_\_\_

Title \_\_\_\_\_

## 11.4. SAMPLE - PUBLIC NOTICE

### (Pertains to Exhibit C)

All interested parties within (counties affected) are hereby advised that (public agency) is applying to the Florida Department of Transportation for a capital grant under Section 5311 of the Federal Transit Act of 1991, as amended, for the purchase of (description of equipment) to be used for the provision of public transit services within (defined area of operation).

A Public Hearing has been scheduled at (date, time, location), for the purpose of advising all interested parties of service being contemplated if grant funds are awarded, and to ensure that contemplated services would not represent a duplication of current or proposed services provided by existing transit or paratransit operators in the area.

**This hearing will be conducted if and only if a written request for the hearing is received by (two days prior to the scheduled hearing).**

Requests for a hearing must be addressed to (Public Agency name and address) and a copy sent to (name and address of appropriate FDOT District Office.)



## 11.5. SAMPLE- NOTICE OF GRANT AWARD

### NOTICE OF GRANT AWARD

(To be completed, signed, and sent to the applicant/recipient by the FDOT District Office)

Based on the agency's Application for Federal Assistance under U.S.C. Section 5311 dated \_\_\_\_\_, on file in the Department, the Florida Department of Transportation hereby makes the following grant award to:

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(Name and Address of Recipient)

<u>Award Year</u>	<u>Description</u>	<u>Estimated Value</u>	<u>Estimated matching funds required</u>
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FLORIDA DEPARTMENT OF TRANSPORTATION

Date \_\_\_\_\_

Award Approved by \_\_\_\_\_  
(name)

Typed Name and Title \_\_\_\_\_

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### ACCEPTANCE OF GRANT AWARD

(To be completed and signed by recipient's authorized representative and returned to the FDOT District Office)

The undersigned accepts the above-described award in a department Joint Participation Agreement (JPA).

AGENCY: \_\_\_\_\_  
(name)

Date \_\_\_\_\_

Accepted by \_\_\_\_\_  
(signature)

Typed Name and Title \_\_\_\_\_

Agency vendor number as registered in My Florida Marketplace: \_\_\_\_\_

## 11.6. SAMPLE-LISTING OF RECIPIENTS, OTHER ELIGIBLE SURFACE TRANSPORTATION PROVIDERS, AND LABOR ORGANIZATIONS ETC.

**(Pertains to Exhibit K)**

(1) Recipient	(2) Project Description	(3) Other Eligible Transportation Providers	(4) Labor Organization Representing Employees of Providers, if any
Identify Recipients of Transportation Assistance under this grant.	Cite Project by Name, Description, and Provider (e.g. Recipient, other Agency, or Contractor)	Identify Other Eligible Surface Transportation Providers (Type of Service)	Identify Unions (and providers) Representing Employees of Providers in Column 1, 2, and 3
A) ABC County Transit	Application for Section 5311 funds for Operating Assistance for FY 02 for ABC County Transit to provide public transportation service to residents of rural areas of the county traveling within the rural area and/or to the adjacent urban area and return to rural domicile.	<p>A) XYZ Transit, Inc. (intercity service)</p> <p>B) MNOP Transit, Inc. (urban transit service)</p>	<p>A) No union (ABC County Transit)</p> <p>B) ATU L.U. #000 (XYZ Transit, Inc.)</p> <p>C) MNOP Transit Drivers Association (MNOP Transit, Inc.)</p>

## 11.7. LOCAL CLEARINGHOUSES / REGIONAL PLANNING COUNCILS (RPC)

CLEARINGHOUSE/RPC	COUNTIES COVERED
West Florida RPC 4081-A East Olive Road Pensacola, FL 32514 850-332-7976 800-226-8914	Bay, Escambia, Holmes, Okaloosa, Santa Rosa, Walton Washington  Contact: Ms. Terry Joseph Email: <a href="mailto:terry.joseph@wfrpc.org">terry.joseph@wfrpc.org</a>
Apalachee RPC 2507 Callaway Road, Suite 200 Tallahassee, FL 32303 850-488-6211	Calhoun, Franklin, Gadsden, Gulf, Jackson, Jefferson, Leon, Liberty, Wakulla  Contact: Mr. Keith McCarron Email: <a href="mailto:keith.mccarron@theaprc.com">keith.mccarron@theaprc.com</a>
North Central Florida RPC 2009 N.W. 67 Place Gainesville, FL 32653-1603 352-955-2200 ext 103	Alachua, Bradford, Columbia, Dixie, Gilchrist, Hamilton, Lafayette, Madison, Suwannee, Taylor, Union  Contact: Mr. Marlie Sanderson Email: <a href="mailto:msanderson@ncfrpc.org">msanderson@ncfrpc.org</a>
Northeast Florida RPC 6850 Belfort Oaks Place Jacksonville, FL 32216 904-279-0880 ext 178	Baker, Clay, Duval, Flagler, Nassau, Putnam, Saint Johns  Contact: Mr. Eric Anderson Email: <a href="mailto:eanderson@nefrpc.org">eanderson@nefrpc.org</a>
Withlacoochee RPC 1241 S.W. 10th St Ocala, FL 32674-2788 352-732-1315 ext 228	Citrus, Hernando, Levy, Marion, Sumter  Contact: Mr. Michael Arnold Email: <a href="mailto:marnold@wrpc.cc">marnold@wrpc.cc</a>
East Central Florida RPC 309 Cranes Roost Boulevard Suite 2000 Altamonte Springs, FL 32701 407-262-7772	Brevard, Lake, Orange, Osceola, Seminole, Volusia  Contact: Mr. Hugh Harling, Jr. Email: <a href="mailto:hharling@ecfrpc.org">hharling@ecfrpc.org</a>
Central Florida RPC Post Office Drawer 2089 Bartow, FL 33830 863-534-7130 ext 103	DeSoto, Hardee, Highlands, Okeechobee, Polk  Contact: Ms. Marcia Staszko Email: <a href="mailto:mstaszko@cfRPC.org">mstaszko@cfRPC.org</a>
Tampa Bay RPC 4000 Gateway Center Boulevard Suite 100 Pinellas Park, FL 33782-6141 727-570-5151 ext 29 727-550-5118 fax	Hillsborough, Manatee, Pasco, Pinellas  Contact: John Meyer Email: <a href="mailto:johnm@tbrpc.org">johnm@tbrpc.org</a>

## Local Clearinghouses / Regional Planning Councils (continued)

CLEARINGHOUSE/RPC	COUNTIES COVERED
Southwest Florida RPC 1926 Victoria Avenue Fort Myers, FL 33901 239-338-2550 ext 232	Charlotte, Collier, Glades, Hendry, Lee, Sarasota  Contact: Ms. Nicole Gwinnett Email: <a href="mailto:ngwinnett@swfrpc.org">ngwinnett@swfrpc.org</a>
Treasure Coast RPC 421 Southwest Camden Avenue Stuart, Florida 34994 772-221-4060	Indian River, Martin, Palm Beach, Saint Lucie  Contact: Ms. Stephanie Heidt Email: <a href="mailto:sheidt@tcrpc.org">sheidt@tcrpc.org</a>
South Florida RPC 3440 Hollywood Blvd. Ste 140 Hollywood, FL 33021 954-985-4416	Broward, Miami-Dade, Monroe  Contact: Ms. Kathe Lerch Email: <a href="mailto:klerch@sfrpc.com">klerch@sfrpc.com</a>

## 11.8. FDOT DISTRICT OFFICE CONTACTS

District	Contacts	Address
1	<p><i>Manager:</i> Paul A. Simmons (863) 519-2388</p> <p><i>Transit Unit</i> <i>Contact:</i></p> <p>Tracy G. Tronco Charlotte, Manatee, Sarasota</p> <p>Michelle S. Peronto DeSoto, Hardee, Hendry, Highlands, Polk</p> <p>Debi Stephens Collier, Lee, Hendry, Glades</p>	<p>P.O. Box 1249 801 North Broadway Bartow, FL 33830-1249</p> <p>863-519-2390</p> <p>863-519-2551</p> <p>239-225-1982</p>
2	<p><i>Manager:</i> Doreen Joyner-Howard (904) 360-5650</p> <p><i>Transit Unit</i> <i>Contact:</i> Janell Damato Alachua, Baker, Clay, Nassau, Putnam, St. Johns</p> <p>Sandra Collins Bradford, Columbia, Dixie, Gilchrest, Hamilton, Lafayette, Levy, Madison, Suwannee, Taylor, Union Counties</p> <p>Theodis Perry Duval</p>	<p>2198 Edison Avenue, MS 2806 Jacksonville, FL 32204</p> <p>(904) 360-5687</p> <p>(386) 961 7870</p> <p>(904) 360 5414</p>
<i>Counties Covered:</i>	Alachua, Baker, Bradford, Clay, Columbia, Dixie, Duval, Gilchrist, Hamilton, Lafayette, Levy, Madison, Nassau, Putnam, St Johns, Suwannee, Taylor, Union	
3	<p><i>Manager:</i> TBD (850) 330-1545</p> <p><i>Transit Unit</i> <i>Contact:</i> Kathy Rudd Bay, Escambia, Gulf, Holmes, Jackson, Santa Rosa, Walton, Washington</p> <p>Vanessa Strickland Calhoun, Franklin, Gadsden, Jefferson, Leon, Liberty, Okaloosa, Wakulla</p>	<p>P. O. Box 607 Chipley, FL 32428-9990</p> <p>(850) 330-1549</p> <p>(850) 330-1534</p>
<i>Counties Covered:</i>	Bay, Calhoun, Escambia, Franklin, Gadsden, Gulf, Holmes, Jackson, Jefferson, Leon, Liberty, Okaloosa, Santa Rosa, Wakulla, Walton, Washington	

## FDOT District Office Contacts (continued)

4	Manager: Larry Merritt (954) 777-4683	3400 W. Commercial Blvd. Ft. Lauderdale, FL 33309
	Transit Unit Contact: Lisa Maack	(954) 717-2253
Counties Covered:	Broward, Palm Beach, Martin, St Lucie, Indian River	
<hr/>		
5	Manager: Brenda Young (407) 482-7852	133 South Semoran Blvd. Orlando, FL 32807
	Transit Unit Contact: Diane Poitras	(407) 482-7860
Counties Covered:	Brevard, Flagler, Lake, Marion, Orange, Osceola, Seminole, Sumter, Volusia	
<hr/>		
6	Manager: Dionne Richardson (305) 470-5292	1000 NW 111 <sup>th</sup> Ave., Room 6111 Miami, FL 33172
	Transit Unit Contact: Raymond Freeman	(305) 470-5255
Counties Covered:	Miami-Dade, Monroe	
<hr/>		
7	Manager: George Boyle (813) 975-6409	11201 N. McKinley Dr. (MS-7500) Tampa, FL 33612
	Transit Unit Contact: Elba Lopez	(813) 975 - 6403
Counties Covered:	Citrus, Hernando, Hillsborough, Pasco, Pinellas	

To send e-mail to any of the above: [firstname.lastname@dot.state.fl.us](mailto:firstname.lastname@dot.state.fl.us)

## 11.9. GLOSSARY

**ambulatory** - A person who is able to walk and move about freely without being confined to a bed or wheelchair.

**applicant** – An agency applying for Section 5311 Federal Assistance. See also “new applicant” and “recurring applicant.”

**authorizing Federal and State Legislation** – Legislation authorizing the Section 5311 program are: Moving Ahead for Progress in the 21st Century (MAP-21) Section 20010; 49 U.S.C. Sections 5311; FTA Circular 9040.1F, Florida Statutes; and Chapter 14-73, Florida Administrative Code. The Section 5311 FTA Circular can be found at [http://www.dot.state.fl.us/transit/Pages/FTA\\_Section\\_5311\\_Circular.pdf](http://www.dot.state.fl.us/transit/Pages/FTA_Section_5311_Circular.pdf).

**capital cost of contracting** - Some FTA recipients turn to an outside source to obtain public transportation service, maintenance service, or vehicles that the recipient will use in public transportation service. When recipients contract for such service, FTA will provide assistance with the capital consumed in the course of the contract. In the case of a contractor’s providing vehicles for public transportation service, the capital consumed is equivalent to the depreciation of the vehicles in use in the public transportation service during the contract period. In the case of a maintenance contract, the capital consumed may be, for example, depreciation of the maintenance garage, or depreciation of the machine that lifts the vehicle. Capital consumed may also include a proportionate share of the interest the contractor might pay out as the contractor purchases and makes available to the recipient of these capital assets.

**category A project** – A project certified by the District Office as having met all the statutory and administrative requirements for approval.

**category B project** – A project the District Office anticipates approving, but that has not met all the statutory and administrative requirements for approval.

**community transportation coordinator (CTC)** - A transportation entity recommended by an MPO, or by the appropriate designated official planning agency, as provided for in Sections 427.011 - 427.017, F.S. in an area outside the purview of a MPO, to ensure that coordinated transportation services are provided to the transportation disadvantaged population in a designated service area.

**contract revenue** – fee collected from a third-party for transportation services provided to the third-party.

**coordination contract** – A written contract between the CTC and an agency who receives transportation disadvantaged funds and performs some, if not all, of its own transportation services, as well as transportation services to others, when shown to be more effective and more efficient from a total system perspective. The contract reflects the specific terms and conditions that will apply to those agencies who perform their own transportation, as well as joint utilization and cost provisions for transportation services to and from the CTC.

**disabled person** – See individuals with disabilities.

**Disadvantaged Business Enterprise (DBE)** - DBEs are for-profit small business companies here socially and economically disadvantaged individuals own at least a 51% interest and also control management and daily business operations.

**district program of projects** – A district listing of each applicant agency for which a grant award is proposed, a description of the project to be funded, and the proposed federal, state and local share of the project cost. The district program of projects includes certification by the District Office that all applicants

and projects so proposed either meet all program requirements or will meet all program requirements before a JPA is executed.

**eligible expenses, capital** - Section 5311 funds may be used for the capital expense of transportation services to the general public in rural areas. Eligible expenses are limited to buses, vans or other paratransit vehicles (including sedans and station wagons), radios and communications equipment, wheelchair lifts and restraints, vehicle rehabilitation, capital cost of contracting, new technologies, microcomputer hardware/software, initial installation costs, vehicle procurement, inspection and acceptance costs, construction or rehabilitation of transit facilities including design, engineering, and land acquisition, and other durable goods such as spare components with unit cost over \$300 and a useful life of more than one year.

**eligible expenses, operating** - For the Section 5311 Program, eligible operating expenses include the total administrative, management, and operation costs directly incident to the provision of public transportation services less operating revenues. Projects may include late night and weekend service; guaranteed ride home service; shuttle service; demand-response van service; ridesharing and carpool activities; marketing. The federal share for net eligible operating costs may not exceed 50%. *Combine this definition and the one below into a single definition.*

**eligible recipient, 5311** – For the Section 5311 Program, political subdivisions of the State of Florida and agencies thereof, Indian Tribes and private nonprofit agencies designated as CTCs, per Chapter 427, F.S., who provide public transportation in rural areas, are eligible recipients for the Section 5311 Program. Private for-profit agencies may receive funds through contractual arrangements with eligible recipients. All recipients who are not CTCs must enter into coordination or transportation operator contracts with the appropriate CTC for the purpose of coordinating services. Local governments providing fixed route/fixed schedule service are not required to have an agreement with the CTC.

**eligible service, 5311** – Public transit service provided in rural areas on a regular and continuing basis is eligible. Service provided to non-sponsored transportation disadvantaged persons and to social service clients is eligible. Services may be designed to maximize usage by transportation disadvantaged persons in general, as long as there is no restriction on public use of the service. Services may not be designed exclusively to serve the transportation requirements of social service agencies without regard for the mobility needs of the community as a whole. The non-prioritization service plan must be submitted to the District Office. Charter, sightseeing, and exclusive school bus services are not eligible services. Since the goal of Section 5311 is to enhance access of people living in rural areas to activities, Section 5311 projects may include the transportation of rural area residents to and from urbanized areas.

**expanded service** - Adding a new service to an already existing system.

**fares** – co-pay or revenue collected from the client to cover the cost of their trip.

**federally recognized Indian Tribal Government** – The governing body or a governmental agency of any Indian tribe, band, nation or other organized group or community certified by the Secretary of the Interior as eligible for the special programs and service provided through the Bureau of Indian Affairs.

**FDOT control number** - Is assigned by the District once the vehicle has been purchased, received and titled to the recipient with FDOT as the first lienholder.

**incurred** - Commitment or obligation to spend funds for goods to be received or services to be rendered.



**individuals with disabilities-** means an individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use effectively, without special facilities, planning or design, public transportation service or a public transportation facility.

**joint participation agreement (JPA)** - A contract between FDOT and a local sponsor of a transportation project, defining a project and FDOT's participation. JPAs may be for one year or multiple years (up to five years), at the discretion of FDOT.

**labor protections** – All Section 5311 operational projects, including intercity bus projects, require agreement to the terms and conditions of the standard Section 5333(b) special warranty for the Section 5311 Program.

**large urbanized area** – an urbanized area (UZA) with a population of 200,000 or more individuals, as determined by the Bureau of Census.

**Limited English proficient (LEP)** - Individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English can be limited English proficient, or "LEP." These individuals may be entitled to language assistance with respect to a particular type of service, benefit, or encounter. DOT recipients are required to take reasonable steps to ensure meaningful access to their programs and activities by LEP persons.

**local match** – Can be a cash match, human services transportation contract or in-kind. Income from contract to provide human service transportation may be used either to reduce the net project cost or to provide local match. In either case, the cost of providing the contract service is included in the total project cost. No Federal Transit Administration program funds can be used as a source of local match for other FTA Programs, even when used to contract for service. In-kind match must be approved, prior to invoicing, by the District Comptroller's Office and be an eligible source listed in the FTA Master Agreement. Non-cash items such as donations of goods or services, volunteered services, or in-kind contributions are eligible to be counted towards the local match only if the value of such is formally documented, supported and pre-approved by the District Office. Any funds committed as match to another Federal program may not be used to match Section 5311 funds.

**mobility management** – Consists of short-range planning and management activities and projects for improving coordination among public transportation and other transportation-service providers carried out by a recipient or sub-recipient through an agreement entered into with a person, including a government entity, under 49 U.S.C. Chapter 53 (other than section 5309). Mobility management does not include operating public transportation service.

**new applicant** – An applicant for Section 5311 assistance that has not received an award in the last two fiscal years.

**new service** - A first time applicant starting a new service.

**non-ambulatory** - A person who has a mobility impairment that prevents them from being able to walk or move about freely.

**non-prioritization plans** – The plan developed by the recipient, and provided to the funding District, which outlines how the recipient plans to provide non-prioritized general public transportation services. All transportation services funded with Section 5311 funds shall be available to the general public, the plan must outline how the recipient will assure that all 5311 funded service is open to the general public.

**rural area** – The area outside of an urbanized area. An urbanized area is defined as “a core area and the surrounding densely populated area with a population of 50,000 or more, with boundaries fixed by the United States Census Bureau or extended by State and local officials.” For the purpose of Section 5311 the urbanized area map as approved by the Metropolitan Planning Organization, Florida Department of Transportation and the Federal Highway Administration, available from the District Planning Sections, shall be used to determine eligible service areas.

**nonprofit organization** – A corporation or association determined by the U. S. Secretary of the Treasury to be an organization described by 26 U.S.C. Section 501(c) which is exempt from taxation under 26 U.S.C. Section 501(a) or one incorporated within Florida which is certified as not for profit by the Secretary of State.

**one-way passenger trips** - A person who rides a transportation vehicle in one direction between two points for a specific purpose.

**operating revenue** - For Section 5311, operating revenue includes the sum of all fares paid by passengers, whether such fares are paid at the time service is provided or via a prepaid arrangement such as passes or tokens. Operating revenue excludes revenues from contracts with social service agencies that pay for transportation of social service clients.

**program of projects** – A list of projects to be funded in a grant application submitted to the Federal Transit Administration by the Florida Department of Transportation. The program of projects lists the subrecipients and indicates whether they are private non-profit agencies, public bodies, or private providers of transportation service, designates the areas served (including Congressional Districts), and identifies any tribal entities. The program of projects also identifies intercity and RTAP projects. In addition, the program of projects includes a brief description of the projects, total project cost and the Federal share for each project, and the amount of funds used for program administration from the fifteen percent (15%) allowed. The program of projects shall indicate whether the employees of a subrecipient are represented by a union and if so by which union.

**public agency** - An authority, commission, committee, council, department, division, bureau, board, section or any other unit or entity of the state or of a town, city, municipality, county or other local governing body.

**public transportation** – Surface transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include school bus, charter, or intercity bus transportation or intercity passenger rail transportation provided by AMTRAK.

**public transit** - The transporting of people by conveyances or systems of conveyances, traveling on land or water, local or regional in nature, and available for use by the general public. Public transit specifically includes those forms of transportation commonly known as "paratransit" characterized by their non-scheduled, non-fixed route nature.

**recipient** – A State or Indian tribe that receives a Federal transit program grant directly from the Federal government.

**recurring applicant** – An applicant for Section 5311 Federal Assistance who applies every year.

**rural areas**- an area encompassing a population of fewer than 50,000 people that has not been designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.

**seniors** –an individual who is 65 years of age or older.

**small urbanized areas (UZA)** - a UZA with a population of at least 50,000 but less than 200,000, as determined by the Bureau of the Census.

**subrecipients** – A state or local governmental authority, a non-profit organization, or operator of public transportation or intercity bus service that receives Federal transit program grant funds indirectly through a recipient.

**transit development plan (TDP)** - A locally adopted document, addressing a minimum five-year time frame. It is prepared by the public transit provider, in cooperation with the appropriate Metropolitan Planning Organization. It is consistent with the applicable approved local government comprehensive plan. The TDP includes an assessment of the need for transit services in the local area, identifies the local transit policies, existing services and proposed service improvements, capital and operating costs of the proposed services, existing and proposed sources of funding and a staged implementation plan. A TDP is updated annually.

**transportation disadvantaged** - Those persons who because of physical or mental disability, income status, or age, or who for other reasons, are unable to transport themselves or to purchase transportation and are, therefore, dependent upon others to obtain access to health care, employment, education, shopping, social activities, or other life-sustaining activities, or children who are handicapped or high-risk as defined in Chapter 411.202 F.S.

**transportation disadvantaged service plan (TDSP)** - a three year implementation plan, with annual updates developed by the CTC's and planning agencies which contains the provisions of service delivery in the coordinated transportation system. The plan shall be reviewed and recommended by the local coordinating board.

**urbanized area** - an area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.

## End of Manual

**5311 OPERATING AND CAPITAL MANUAL REVISED ON 5 SEPTEMBER 2015**

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